

**OFFICE OF
SUSTAINABLE
DEVELOPMENT**

**STRATEGIC PLAN
(FY 1998-2003)**

APRIL, 1997

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ACRONYMS AND ABBREVIATIONS

ADEA	Association for the Development of Education in Africa
AFR/ARTS	Office of Analysis, Research and Technical Support, Bureau for Africa
AFR/DP	Office of Development Planning, Bureau for Africa
AFR/ONI	Office of New Initiatives, Bureau for Africa
AFR/SD	Office of Sustainable Development, Bureau for Africa
AFR/TR	Office of Technical Resources, Bureau for Africa
BHR	Bureau for Humanitarian Response
BHR/FFP	Office of Food for Peace
CAFS	Center for African Family Studies
CBNRM	Community Based Natural Resource Management
CDC	Center for Disease Control
CERPOD	Center for Applied Research on Population and Development
CSOs	Civil Society Organizations
DG	Democracy and Governance
DHS	Demographic and Health Surveys
EMEMP	Environmental Monitoring, Evaluation and Mitigation Plan
ENCAP	Environmental Management Capacity Building Initiative
ENR	Environment and Natural resources
ENRM	Environmental and Natural Resource Management
EPI	Expanded program of Immunization
ESS	Education Sector Support
FAWE	Forum of African Women Educators
FDI	Foreign Direct Investment
FP	Family Planning
FQL	Fundamental Quality Levels
G	Bureau for Global Programs, Field Support and Research
GDP	Gross Domestic Product
G/DG	Center for Democracy and Governance, Global Bureau
G/ENV	Center for the Environment, Global Bureau
GII	Global Information Infrastructure
HHRAA	Health and Human Resource Analysis for Africa
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
HPN	Health, Population and Nutrition
IC	Information and Communication
ICCs	Interagency Coordinating Committee
ICT	Information and Communications Technology
IEC	Information, education, Communication
IMCI	Integrated Management of Childhood Illnesses

IPPF

International Planned Parenthood Federation

ACRONYMS AND ABBREVIATIONS (continued)

IR	Intermediate Result
ISP	Internet Service Provider
IUCN	World Conservation Union
LPA	Bureau for Legislative and Public Affairs
MCH	Maternal Child Health
JWTSIYWPA	Just Wanted to see if you were Paying Attention Again
MDS	Multi-Donor Secretariat
NARS	National Agricultural Research Systems
NEAPS	National Environmental Action Plans
NESDA	Network on the Environment and Sustainable Development in Africa
NGO	Non-governmental Organization
NID	National Immunization Day
NPI	New Partnership Initiative
NRM	Natural Resource Management
ODA	Official Development Assistance
OFDA	Office of Foreign Disaster Assistance
PARTS	Policy Analysis, Research and Technical Assistance Project
PPC	Bureau for Program and Policy Coordination
PVO	Private Voluntary organization
REDSO	Regional Economic Development Support Office
REDSO/ESA	Regional Economic Development Support Office, East and Southern Africa
REDSO/WCA	Regional economic Development Support Office, West and Central Africa
SO	Strategic Objective
SPO	Special Objective
SSO	Strategic Support Objective
STDs	Sexually-Transmitted Diseases
STIs	Sexually-Transmitted Infections
TOATAY	Tired of All These Acronyms Yet?
UNICEF	United nations International Children's Emergency Fund
WHO/AFRO	World Health Organization, African Regional Office
WRI	World resources Institute

INTRODUCTION

The following pages contain the strategic plan for the Africa Bureau's Office of Sustainable Development (AFR/SD). This is the first plan that AFR/SD has developed and it is somewhat out of season, being a year late. We think it provides a clear and precise statement of what, in the past, we have had some difficulty in communicating effectively -- who we are, what we do and what difference it makes. In laying out our vision of the Office we have walked a careful line, presenting a set of results that are ambitious but realistic. As we point out we do not work in a vacuum; everything we do occurs with and through our partners and customers. We would have no results without their partnership; we believe their results would be less achievable without us.

The plan document is organized, unlike Gaul, into four parts:

Part I presents a view of development and a view of what is happening in Africa. The development paradigm which we present is based on the notion that ideas matter, and, in fact, matter most of all; that development occurs primarily in the human realm, not the realm of physical infrastructure and machines; and that an aid agency which finds itself with a declining capacity to provide the material things of development should make a virtue of necessity and focus its energies on the realm of ideas. Part I also describes the changes that are taking place in Africa, and how those changes are shaping the assistance agenda.

Part II presents the central argument of whether AFR/SD. In this section, we lay out as carefully as we can the vision, operating style and partnerships of our Office. This is a very important part of the plan for it answers several questions of many of the skeptics and critics of our Office: Why are you duplicating what the Global bureau or the Missions or the REDSOs are already doing? In a time of declining resources, isn't AFR/SD a vestigial organ, like an appendix? What is your value added?

The actual plan, consisting of ten (that's right, ten) strategic objectives (SOs), one strategic support objective (SSO) and one special objective (SPOs) is presented in Part III. Presenting that number of SOs creates writing problems. It is difficult to be clear, interesting and non-repetitive. We have tried to err on the side of brevity, but this is one area where we may not have succeeded.

Finally, in Part IV we get down to brass tacks: what is this stuff worth, both in terms of dollars and sense (staff)? We present several scenarios, and discuss how changes in resource levels will affect our plan and its expected results.

We hope you will find this plan readable and compelling. We also hope we are able to convey to you some sense of the excitement and commitment which motivates us. We truly believe that revolutionary changes are occurring in Africa, and that USAID and AFR/SD can help shape those changes in a way that will make Africa more prosperous and more peaceful.

The Staff of AFR/SD

Wisdom is the principal thing; therefore get wisdom: and with all thy getting get understanding. Exalt her and she shall promote thee; she shall bring thee to honor when thou dost embrace her. She shall give to thy head an ornament of grace: a crown of glory shall she deliver to thee. Hear, O my son, and receive my saying; and the years of thy life may be many. I have taught thee in the way of wisdom; I have led thee in right paths. When thou goest, thy steps shall not be straitened, and when thou runnest thou shalt not stumble. Take fast hold of her instruction; let her not go; keep her; for she is thy life.

Proverbs 4:7-13

PART 1: ASSISTANCE ENVIRONMENT

A DEVELOPMENT PARADIGM

In his wonderful textbook, *Principles of Economics*, Paul Samuelson writes of a mind experiment. Suppose we take the population of England and drop it into Nepal, and take the Nepalese population and drop it into England. Nepal, with its limited roads and other capital will provide a difficult challenge for the English, most of whom do not know how to farm, or how to produce anything useful without their foundries and mills and computers. But England will provide an even more difficult challenge for the Nepalese who do not know how to run or maintain the houses, roads, factories and farms they have been given. In fact, it is almost certain that within a generation the living standards of the English in Nepal will surpass those of the Nepalese in England.

There have been thousands of textbooks and articles written about development as if it were a process of accumulating capital, and many more dealing with perspectives viewing development as a bottom-up process, or alternatively as a trickle-down process. However, the essence of development is not the accumulation of roads, machines and technologies, but the accumulation of skills and institutions, of human and social capital.

A UNIQUE OPPORTUNITY

"A social, political and economic metamorphosis is now under way throughout the world, and the U.S. has a unique opportunity to help shape the outcome."

-- USAID Strategies for Sustainable Development (March, 1994)

Development is a process through which people and the society to which they belong, through a transformation of their beliefs, their behavior, and the institutions they create become more effective managers of their environment and of themselves. As development occurs, societies are more able to wring from their natural environments food, shelter, clothing, leisure and longer and healthier lives. In the best of civilizations, institutions and modes of behavior are also developed that expand individual freedom and reduce insecurity and fear.

THE CENTRALITY OF HUMAN CAPITAL. Many people have pointed out that when Ghana became independent in 1957 it had the same level of development as Korea. That may have been true in terms of per capita income, but it was clearly not true in terms of the stock of human capital. By "human capital" we mean the stock of education, training and knowhow that makes an individual more effective in producing goods and services than one who has no such education or training. Also important as a factor in human capital development are health and nutrition. All of the literature surrounding the "Asian Miracle" points out how important investment in human capital was for the economic successes of the Asian tigers.

Research has also demonstrated that investments in basic education and primary health care have very high rates of return. An increase in one year in average aggregate years of education for a country can lead to a 3% rise in GDP. The building blocks of modernity are literacy and numeracy. Modern societies are built on specialization, and specialization requires integration, and integration, communication. For example, an orchestra requires violinists, percussionists, trumpet players, bassoonists, etc. to give it a richness and depth that could never have been accomplished with a hundred cellists or flutists. But these specialists have to communicate so that they can work together and create harmony rather than discord. So the musicians need to read music and understand the conductor so that they know what to do and when.

Moreover, civilization is built on the ideas of the past, ideas that are so diverse, numerous and specialized that they cannot be left to oral tradition, an internal record kept by a few select storytellers, but need to be recorded on the outside world. As civilization develops, the amount of information needed to be effective in an increasingly more specialized role increases. Thus, no society can progress past a certain point if it is illiterate. Numeracy represents skills in a different type of language -- a language that is foundational for commerce and scientific development. While literacy is often the ability to manipulate quality, numeracy is the skill to manipulate quantity, and in the world of bringing forth food, shelter and other useful things from the raw material of our environment, advanced quantitative skills are the transmission mechanism for progress.

Development at the end of the twentieth century requires that people have higher levels of literacy and numeracy skills than ever before. Think of the costs required to give a child a reasonable 12th grade education -- 12 years of absence from productive work, plus about a year of skilled time from the teachers and education system managers. In a country with rapid population growth, with the primary school age population equal to 50% of the working population, each year of education, if all children are to be educated, costs somewhere about 7.5% of GDP (although not in financial terms).¹ Similarly, as the work task becomes more specialized, increased training is necessary to provide workers with the information needed to be effective at their jobs.

¹ Suppose the marginal product of an unskilled child is \$.20 per day, while the financial costs for a year of primary education per class is \$2000. With a class of 40 students, a school year of 250 days, each year of school per student costs \$2000/40 or \$50.00 per year in financial terms and \$50 in lost output. If per capita income is \$1 a day, and if the primary school age population is 50% of the working population, then the costs of universal primary schooling is 13.6% of GDP.

INSTITUTIONS. Institutions form the basic building blocks of society. They are the mechanisms through which societies organize themselves to achieve social aims. Many of these institutions -- the family, the church, the village -- are ubiquitous, although particular forms of these institutions -- the polygamous family, the Unitarian Church, the New England town meeting -- are specific to a certain time and place.

Developing societies face a serious tension between traditional institutions which have tended to support the status quo and modern ("Western") institutions which demand change. Nowhere is this more true than in Africa where a series of Western institutions -- the Christian and Islamic religions, the colonial governments, European slave trade, multinational firms, large central governments, democracy, socialism -- have been imposed on a more traditional set of institutions -- animism, polygamy, village political organizations, matrilineal inheritance, etc. In almost every case, traditional institutions are giving way to modern ones -- monogamy is replacing polygamy, Christianity and Islam are replacing animism, the modern state is replacing traditional modes of political organization, the multinational firm is replacing the Hausa trader.

But much of this modernization, particularly in the realm of governmental institutions has been imposed by the outside -- whether colonial power, international donor or socialist reformer. As a result, "the last twenty-five years have been a period of endless and sometimes shameless experimentation in Africa."² While a great deal of experimentation is likely in the future, it will be home-grown, rather than externally-driven. For example, over thirty African governments are engaging in ambitious programs of decentralization. The motivations for this new strategy are three fold: (1) an attempt to reduce the ethnic and regional tensions that threaten many African states; (2) a recognition that the central government has been ineffective in providing critical social services; and (3) an intention to make government more accountable, by moving responsibility for many government services to local levels. In addition to the experimentation in the realm of decentralization, the shift from authoritarian governments to democratic ones has spawned many different constitutional forms -- amalgams of presidential and parliamentary systems -- the efficacy of which remains untested.

In the economic realm, the changes are more certain. The fall of the communist model of economic organization, and the triumph, for good or ill, of market-based systems seems irreversible. The institutions necessary for markets to work -- a set of laws protecting private property, a judicial system that enforces contracts, and a government which manages its macroeconomy effectively and provides critical infrastructure -- are rapidly being put in place. Profit-maximizing firms (including smallholder farms) are not new or foreign to the African landscape, nor are markets in which prices are set by scarcity.

Both donors and African governments are now much more humble about the institutional underpinnings of development. In Hyden's words, our development models have shifted from "comprehensive planning to local self-governance," from "reliance on external to reliance on internal inputs," from "transformation to incrementalism," from "government to the NGO and private sectors," from "perfectibility to fallibility," from "optimality to redundancy," from "blueprint

²Goran Hyden, "The Changing Context of Institutional Development in Sub-Saharan Africa," in The World Bank, *The Long-Term Perspective Study of Sub-Saharan Africa*, Vol 3., p.43.

to greenhouse."³ The point is we don't know what will work and what won't work in a given social and historical environment. Over the next few years African governments and donors alike will have to spend a great deal of time watching these institutional experiments, sharing experiences, and trying to learn what works best in any given environment.

STRATEGIES. If public policy matters, and anyone examining the recent histories of the developing countries of Asia, Africa and Latin America would be hard put to argue otherwise, then what matters most of all is the framework within which those policies are developed. In particular, two strategic concepts are all-important: vision and image.

Vision. The first generation of African leaders were not lacking in vision. Kwame Nkrumah was the champion of pan-Africanism; Julius Nyerere of *Ujamaa*, Jomo Kenyatta, of *Harambee*, Leopold Senghor, of *Negritude*. Sekou Toure's guiding aphorism was "Seek ye first the political kingdom..." All of these founding fathers had broad, compelling visions. They knew that their first task was to create a state out of many nations, and so they used the vision of a new society built on a combination of both new and old values. The problems they faced arose not so much out of faulty vision, but out of faulty images.

Image. Kenneth Boulding defines an "image" as an organizing framework through which one selects and adds meaning to facts and observations. For example, astronomers until the time of Copernicus believed that the earth was the center of the universe. The more they observed the movements of the heavenly bodies, the more difficult it became to put new observations into that "image" or paradigm. Finally, a new, heliocentric image became accepted and observations of the heavenly bodies fit into the new "image."

"Images" of social organization are as important as those of the physical world. For most of Africa's founding fathers the predominant social "image" was one of state socialism -- a belief in the perfectibility of man through the development of public policy. It viewed capitalism and capitalists with distrust, and viewed the state as the agent of modernization and social transformation. This image, called "African socialism" made a virtue out of necessity (lack of an indigenous capitalist class), and became the model out of which the first generation of African leaders, and their Western advisors including the donor community, developed the public policies which, over the next three decades would lead to economic stagnation.

Clearly, as we shall see below, the "African socialism" image has been as discredited with the fall of the Soviet system as Ptolemaic astronomy was discredited with the rise of heliocentric ideas. The new "image" of social organization arising in Africa is being defined by leaders such as Presidents Isaias and Museveni. It is one that is strongly outward-oriented, that sees private investment as increasingly supplanting foreign assistance, and sees the role of the state as creating an environment in which private enterprise can tap Africa's creative energies in generating sustainable and accelerated economic growth.

Policies, Strategies and Programs. However *visions* and *images* must be translated into effective action. Governments must learn how to do such things as control expenditures, raise taxes, develop infrastructure, privatize public enterprises, regulate financial markets, manage

³Hyden, *ibid*, pp. 48-53.

their exchange rates, make strategic public investments, provide public services efficiently, and develop effective legal and judiciary systems. Ultimately, it is in these myriad details of making societies work that governments will succeed or fail.

THE ASSISTANCE ENVIRONMENT

THE AFRICAN RESURGENCE. The Africa of 1997 is not the Africa of fifteen or even ten years ago. Many African countries have adopted programs of economic reform; many others have made substantial progress in moving from authoritarian to democratic forms of governance. But these are only surface changes. Deeper, more fundamental changes are taking place in African society, changes which are transforming despair into hope, and apathy into action.

These sub-terranean changes are sometimes more difficult to see than the surface changes, but they are infinitely more important, for they determine the way in which life is lived in the one million African villages and thousands of African towns and cities. Let us count the ways:

- ! **Education.** The number of literate Africans has increased exponentially in the three decades since independence. Overall adult literacy rates have increased from 25% to 65%; this means that in the thirty-seven years since independence the number of literate people has grown by 5.5% per year. Even more rapid has been the increase in trained and highly educated manpower. For example, in 1961 the number of African agricultural scientists was less than 100; by 1991 it exceeded 8000.
- ! **Economic Freedom.** The past fifteen years have seen the withering away of the state in much of African life. Agricultural marketing boards, police blockades, state control of access to critical inputs such as foreign exchange, have all largely disappeared. For the first time in a hundred years, African farmers and entrepreneurs are able to go about their business without the heavy hand of government limiting their ability to choose freely.
- ! **Self-Help.** As a consequence of state breakdown, Africans are increasingly taking on for themselves the roles that the colonial powers and the independent states of Africa performed so poorly. This is especially true of education, natural resource management, and to some extent health. African governments are increasingly decentralizing many of their governmental roles to local authorities. At the same time, private associations of farmers, of traders, of parents, of people interested in protecting the environment or in increasing women's rights, private associations of all kinds, are exploding on the African landscape.

BERG ON AID DEPENDENCY

In low-income countries aid inflows that are large relative to the size of the recipient economies have powerful antidevelopment effects ... Donors ...should begin preparing for a different future, one in which official development assistance has a much smaller role ... An explicit and time-bound target of reduced aid dependency would create a different context for thinking about aid policies...It would stimulate fresh thinking and give a new urgency to the task of enhancing local capabilities.

Elliott Berg

! **Institutional Reform.** Throughout Africa, the institutions of development are undergoing thorough reform. These institutions have been shown to be unresponsive to clients, expensive, overly bureaucratic and corrupt. Many of these institutions are moribund and only need to be buried; others are financially bankrupt. But rising out of the ashes of these organizations are new, more responsive, more financially sustainable development organizations, both public and private. This area is the battleground where the development wars are being fought.

! **Self-Confidence.** Most important, Africa is at last emerging from a colonialism of the spirit. Increasingly, Africans are laying aside the unprofitable attitude that "the devil made us do it," that the African development crisis was caused by the neocolonialist plots of the Western market economies. Instead Africans are taking responsibility for their own actions. What is resulting is a more mature relationship between donors and African governments, a relationship of partnership, not of dependence.

Fortunately, these changes are taking place at the same time that fundamental changes are also taking place in the assistance environment.

THE CHANGING ASSISTANCE ENVIRONMENT. For the period 1980 to 1994, net official development assistance (ODA) to sub-Saharan Africa increased by 5.3% per year. In 1994, ODA averaged \$31 per capita, or 12% of GDP (excluding South Africa). Those days are gone forever. Beginning in 1994, donor assistance to Africa began to decline precipitously. This is as true of the United States as it is of other donors. However, this decline in aid levels, if managed effectively, can be salutary, rather than harmful.

High aid levels create dependency in three ways: (1) they move the responsibility from problem solving from the aid recipient to the donor; (2) they decapacitate government by creating donor dependant project management units; and (3) they lead to appreciation of the real exchange rate ("Dutch disease") which skews incentives away from the most dynamic sector of the economy, the export sector. However, precipitous declines in assistance can create real problems for the recipient economy. Far better to maintain real levels but declining shares of GDP. For example, real GDP growth of 6% per year for ten years coupled with constant aid levels, would reduce ODA as a share of GDP from 12% to 6.7% over the same period, and to

3.7% after 20 years.

THE CHANGING GLOBAL ECONOMY. It is no secret that the world economy is undergoing rapid transformation. In a revolutionary way we now live in a global economy. A walk through a sports store will reveal rows upon rows of athletic shoes from Taiwan, Korea, China, Indonesia, Malaysia and other countries farther afield. Increasingly American investors, including the large institutional funds, are investing in foreign stock markets and growth funds, even those in Africa. A small change in an interest rate in one country can lead to billions of dollars moving from one capital market to another. The information age is linking buyers, investors, producers, sellers, producers of intellectual capital, students, professors, and virtually everyone from Blantyre, Scotland to Blantyre, Malawi into one giant marketplace.

While there are great fears that Africa is being left behind in the new global economy, the reality is more reassuring. It is true that of the \$60 billion of foreign investment going from the advanced to the developing world last year, less than 2% went to sub-Saharan Africa. It is true that between 1980 and 1994 exports from developing countries grew by 5.0% per year while African exports actually declined by 1.8% per year. However, this situation is changing. In 1995/96, African exports grew by a healthy 9.0% annually. Telecommunication companies can be found in every corner of Africa, looking for new markets. In April 1997, the Corporate Council for Africa held a meeting on private investment in Africa that was attended by over twenty CEOs of large American firms as well as over thirty African cabinet ministers.

In this environment, private investment will increasingly take the place of foreign assistance as a source of capital. This will take some time. Even if foreign private investment in Africa were to grow at 10% per year, and ODA remained constant, it will take 23 years before private flows exceed official flows. More important, indigenous investment must become the main source of capital.

DEVELOPMENT ROLES IN A WORLD OF SHRINKING RESOURCES.

If what has been argued so far is true; if development is largely an intellectual process -- the building and strengthening of human organizations, institutions and behavior which is amenable to modernization; and if development resources are in decline, then, USAID should seize what it has been forced to accept. Our role must center around the development, dissemination and advocacy of "better ideas." Lawrence Summers, former chief economist of the World Bank, and now Deputy Secretary of Treasury has said:

More bang is actually much more important for development than more bucks. Improving the efficiency with which resources are used will often make a greater difference than investing more heavily. Consider the following striking comparison: A two-tenths of one percent increase in total factor productivity in developing countries would do more for their standard of living than an additional \$100 billion of capital invested at historic rates of return.

MUSEVENI ON FOREIGN INVESTMENT

I would prefer not to ask them for more money because it is not a sustainable source of funds. I don't want more aid. I want foreign investment. One company, British-American Tobacco - and I don't want to go into the merits and demerits of tobacco here - pays us tax revenues of \$42 million per annum. I don't think the U.S. A.I.D. program exceeds \$42 million. Now suppose we had 1,000 companies each giving us \$42 million in taxes.

-- Uganda's President Museveni
New York Times Magazine

Can we document this? Between 1985 and 1994, African economies went into free-fall. Per capita incomes in 27 out of 48 countries declined, and for the continent as a whole, per capita income declined by 1.8% per year. By 1986, many of these economies were as poor as they were when they achieved independence. What happened? Did capital flows decrease? No, in fact it was during this period that Africa borrowed over \$100 billion, thus creating the debt overhang that has bedeviled these economies ever since. Certainly, the two oil crises of 1974 and 1979, which led to world stagflation, was a key catalyst of this crisis. But these world events are far from the whole story.

How did over 200 billion dollars of foreign aid pour into the continent without making a dent in living standards? Why, despite this investment, were African roads, schools, health systems, and infrastructure weaker

and more dilapidated in 1986 than they were in 1976? Perhaps it was the investments themselves: a steel mill in Nigeria that has never ever made a profit; the largest shoe factory in the world in Tanzania (built by the World bank), which has yet to produce a pair of shoes; a fertilizer plant in Somalia which costs \$1.25 to produces \$1.00 worth of fertilizer; or an all-time favorite -- a glass factory in Algeria, built on the edge of the Sahara, which has to import sand from Belgium to make glass, since it is incapable of using Saharan sand.

This is only part of the story; the other part, of course, is the set of policies that enrich the rich, impoverish the poor, and destroy creativity. Policies, like those in Zambia and Zimbabwe which forced farmers to sell maize to large urban mills which then retransported the meal back to the rural areas. Policies, like those in Ghana which resulted in one parastatal marketing employee for every three farmers. Policies, like those in Ghana which so overvalued the currency, that the select few who could obtain fertilizer at a highly subsidized price were able to transport it across the border to Burkina Faso, sell it there for foreign exchange, and bring the bag back and sell it on the black market for more than they paid for the fertilizer in the first place.

These bad ideas wasted billions and billions of dollars. Good policies can make every dollar invested more effective, raising productivity and growth. The catalytic role we are suggesting for USAID has two important aspects: (1) the development and transfer of new and improved development "ideas," and (2) the strengthening of a sustainable capacity within Africa of producing these better ideas on the continent. The plan we detail in section III develops the mechanisms by which AFR/SD intends to both develop and transfer better development ideas and actively shift the locus of intellectual leadership from the donor community to sub-Saharan Africa.

INPUT FROM CUSTOMERS

AFR/SD prides itself on its long-standing ethic of bringing customers into our program design and implementation process. Last year we conducted a formal survey of customers. The AFR/SD Customer Service Team used individual and group interviews to collect information on the quality, timeliness and relevance of AFR/SD "products". It gathered feedback from ten USAID field missions, and engaged virtually all USAID/W Africa Bureau offices. It also queried the Coordinating Group for the Special Program of Assistance for Africa, comprised of sixteen bilateral and five multilateral donors.

In the development of this strategy, our SO teams involved a broad array of partners and customers. Several meetings were held in the HPN sector with the REDSOs and the Global Bureau, and an agricultural and environmental officers conference with the same groups as well as representatives of our bilateral missions was held in January to discuss coordination and our proposed strategic objectives in agriculture and the environment. Strategic Objective teams have included technical colleagues in the Global Bureau and in AFR/DP, as well as virtual members overseas.

As a result of these discussions we have received a great deal of feedback, much of which we have incorporated into the final plan. we have not been able to present the plan in its entirety to any of our customers. Nevertheless, we believe it faithfully represents their views.

PART II: AFR/SD'S ROLE AND RELATIONSHIPS, SCOPE AND RESPONSIBILITIES, AND APPROACH TO INFLUENCING DEVELOPMENT

Given the truth of what we've just presented, what is the justification for maintaining a separate development program in AFR/SD? What is the value added of the program we are presenting? Isn't what we want to do what is already being done by either the Global Bureau, the REDSOs or our bilateral Missions in Africa? To answer these questions we want to raise a series of somewhat simpler questions which will serve to identify the unique role that the Office of Sustainable Development plays.

WHO WE ARE. AFR/SD is a linear descendant of the Office of Analysis, Research and Technical Support (AFR/ARTS) and the Office of New Initiatives (AFR/ONI), which in turn were descendants of the Africa Technical Office (AFR/TR) and the Africa Regional Programs Office. As the Agency has down-sized so has the technical function in the Africa Bureau. We currently have a USDH staff of 20, and a program-funded staff of 35, managing a budget of around \$45 million annually (which makes us one of the five largest development assistance programs in Africa).

AFR/ARTS was organized to provide analytic leadership to the AID program in Africa. AFR/ONI had the role of catalyzing new programs, particularly in the democracy and private sector areas. Both offices managed regional projects which supported these initiatives, as well as providing economies of scale in such areas as training and famine early warning. With the 1994 reorganization most of the project management responsibilities were assumed by the Global Bureau, and with the reduction-in-force and down-sizing of 1996, AFR/SD's USDH staff and its program budget contracted by around 50% each from their 1994 ARTS and ONI levels.

WHAT WE DON'T. The 1991 and 1994 reorganization shifted a number of AFR/TR and AFR/ONI roles to the Global Bureau. As a result, AFR/SD **does not**:

- ! provide implementation or technical backstopping to USAID missions in Africa;
- ! manage technical assistance contracts;
- ! manage (with one exception) projects which provide actual services (hardware, training, or long-term technical assistance).

WHAT WE DO. As should be clear by now, we believe forcefully in the power of ideas. We see our primary function as being "A Watchman on the Wall." In Biblical times watchmen patrolled the walls of the city looking out on the surrounding countryside for dangers or for information of impending changes such as the arrival of messengers. We, as watchmen, continually examine the African landscape, seeking new information of danger or of opportunity. For example, in 1992 we realized that our bilateral missions had sharply reduced their funding for agricultural research; and in 1993, we noticed that immunization levels in many African countries were falling. We are particularly suited for this watchman role, since

we are the only organization in AID with a focus that is Africa-wide and covers all areas of AID's development program.

But the metaphor of a watchman is a bit too passive. For we are also the king's necromancers. We are not content to stand on the walls waiting for information to come to us, but we read the entrails and the portents, seeking to learn what the past tells us about what the future holds.

THE POLICY DUNG PIT

Look, I don't shape policy. I provide raw data. Policy is a swamp, pal, you get sucked into a dung pit and you can disappear without a trace.

Thomas Gifford, *The First Sacrifice*

But we are not only the king's necromancers, we are also his counselors. Once an opportunity or danger presents itself, we shift roles and seek to provide advice to the Bureau's senior managers on a course of action that responds to the new situation.

But not only are we watchmen, necromancers and counselors, we are also the king's emissaries, dispatched to his representatives in farflung outposts to inform his lieutenants of changes in plan and policy and to the courts of other princes to form new alliances. In short:

- ! as *watchmen*, we continually examine the African development landscape seeking to understand the dynamics of change, both positive and negative, with particular emphasis on what is happening to the USAID program in Africa:
- ! as *necromancers*, we conduct research and analysis to understand more deeply development issues; in this endeavor we work cooperatively with our agents in the field, a network of African researchers and U.S. partners who alert us of new issues and ideas;
- ! as *counselors*, we then develop new strategies for the Bureau's managers to respond to the evolving development environment;
- ! as *emissaries*, we take these new strategies to our missions, to our African partners, and to other donors and seek to convince them of the efficacy of the new ideas we have been developing.

More specifically, we perform the following functions:

- ! monitor development trends and issues throughout the Africa region and identify priority issues that need to be resolved in order to achieve USAID and African development objectives;
- ! provide staff assistance to Africa Bureau senior management, advising on sectoral policy and programming issues, outreach to Congress and constituency groups, and technical leadership in Washington reviews of AFR programs;

- ! develop regional frameworks, strategies and initiatives with our African, USAID and other-donor partners to reach consensus on approaches and to leverage resources in order to address issues that affect multiple countries in the region;
- ! carry out joint planning, programming and co-financing of regional initiatives in collaboration with field missions, REDSOs and the Global Bureau;
- ! conduct research and analysis, disseminate analytical results and advocate policy, strategy and program change, in order to get priority issues on USAID, other-donor and African agendas, influence strategy development and inform design and implementation decisions;
- ! develop new tools, methodologies and approaches to address identified constraints and systematically identify and disseminate best practices across Africa;
- ! strengthen African and donor partnerships and using regional resources to influence other donors to address problems and priorities;
- ! support African capacity building in policy analysis, strategy development, and evaluation and monitoring on a regional basis in specialized areas;
- ! support Africa-wide approaches and organizations, including networks, information exchanges and electronic connectivity; and
- ! provide strategic support to USAIDs including developing SOs and results frameworks, performance-monitoring plans, program assessments, etc.

There are two critical aspects of our role that are important to keep in mind. First, we work with the currency of *ideas*. With a couple of exceptions we do not bring money or technical assistance to the table; we do not directly implement programs.⁴ We do not build schools, supply computers, train midwives, or provide long-term technical assistance. We provide ideas.

Second, we can do nothing by ourselves. As the BAF commercial says, "We don't make the bicycles, we make them stronger." We work in concert with a large variety of partners and provide assistance to a wide variety of customers.

OUR CUSTOMERS. AFR/SD sees its ultimate customers as Africa's citizens. We see it as fundamental that we keep the interests of these customers in the forefront of our mind. However, our direct customers are those who will transform the currency we bring to bear on development in Africa, new and better ideas, into the programs which will serve our ultimate

⁴The two major exceptions are SO 5, in which AFR/SD, through the Leland Initiative is actually providing hardware and training for expanded internet connectivity in selected African countries, and Special Objective 1, in which we are transferring funds to UNICEF and WHO/AFRO for actual polio immunization activities. We will also be seeking, in SO 2, to begin, as part of an interagency initiative on trade and investment, providing technical assistance in this area.

customers.⁵ In one sense, there is a certain hierarchy among our customers -- at the top are African governments, the next level is comprised of African institutions, followed by other donors, USAID missions and finally by AID/Washington offices and Bureaus. Our closest customers are those with the most limited reach, while our most distant customers are those whose actions have the broadest impact on our ultimate customers. We further categorize our customers in two groups, although we recognize that this is not a neat and clear distinction:

- o **Sectoral Customers** - Those with interests related to SD sectoral talents or projects such as agriculture, education, democracy/governance, etc.; and,
- o **Program Customers** - Those with interests related to broad, non-sectoral SD services such as country and regional analysis, program planning and impact assessment. Program Customers include the management and program offices of USAID Field Missions, USAID/W offices (eg - AFR/DP, LPA, PPC, Global) and other donors.

OUR PARTNERS. We can do nothing by ourselves. In a very real sense many of our customers are also our partners because their actions will ultimately provide development services to our ultimate customers. For example, in many cases it will be the bilateral missions whose programs affect the actions of African governments, which in turn affect our ultimate customers -- the people of Africa. Therefore, if what we do affects the actions of our bilateral missions then our proximate customers, the missions, are also our partners.

In addition we have a series of partners who work more directly with us in producing or transferring our ideas into actions:

- ! **Our U.S. Collaborators.** We have developed a set of partners -- firms, universities and NGOs who implement our analytic activities; the services of many of these partners are accessed through Global Bureau projects.
- ! **Our African Collaborators.** We have also developed a series of African partners -- researchers, research institutions and NGOs -- to whom we increasingly turn to implement our activities. This is a "twofer," a mechanism which not only provides us help effectively and cheaply, but also achieves a second of our basic objectives -- increasing African policy-analytic capacity.

The Global Bureau. The Global Bureau is an important partner in two ways: (1) Global Bureau staff, in most cases, serve as members of SD's strategic objective teams, providing us with ideas and insights which help us in our various roles; and (2) Global Bureau provides the mechanisms through which we access most of our American

⁵It is important that we give clear definition to the term "program." In the language which we will be using throughout this strategy, "program" is a higher level concept than "strategies," "policies" and "activities." "Programs" are defined as the sum of policies, strategies and activities in a given area. Thus a program in basic education would be comprised of basic education policies, strategies and projects. Strategies would include resource allocations.

collaborators. In the past, three years a substantial portion of our program resources have been transferred to G for either buy-ins or field support.

- ! **The REDSOs.** Just as we work with G to access specialized technical advice and mechanisms, so we work with the REDSOs, providing a mechanism for them to fund their resident program-funded technical staff, and to jointly implement parts of our analytic work. In some instances we have developed joint activities, while in others, we have concentrated on the analytic end, while they have focussed on dissemination of new ideas.

ABANDONING CARTESIANISM. One of the issues that has bedeviled discussions of AFR/SD has been the search for clear and clean divisions of labor among the technical offices working in Africa -- from Global Bureau to AFR/SD to the REDSOs to the bilateral missions. This search is motivated, particularly in an era of shrinking resources, by concerns over duplication of effort and waste of scarce program and staff resources. But in a reengineered USAID such concerns come at problems from an archaic or "old-think" perspective. In fact, the basic reengineering principle of teamwork argues that it makes sense for different organizational units to work together for common objectives, each bringing its particular strengths to any given problem. Instead of sharp and clear linear distinctions, we should celebrate fuzzy, non-linear synergies. *This creates tensions between two important reengineering principles -- teamwork and managing for results; if we are all working together, how can we define what each of us is responsible for?* We will return to this question in Part III.

AFR/SD'S COMPARATIVE STRENGTHS. Our unique strengths center around three separate characteristics of our Office:

First, we are Africa-centered. We see ourselves as Africanists first and technical experts second. If the ideas we presented above are even partially correct, development requires a deep understanding of the development context -- the historical, cultural, political, institutional and economic milieu which we are trying to affect. These dimensions of development are locally-specific. For example, to understand how to improve the functioning of civil society, one needs to have a deep understanding of the local environment, and our staff's experience in Africa is second to none.

Second, we are committed to African-driven development. As noted above, we have established important and deep relationships with many of the key indigenous institutions, as well as many of the critical individuals who are in the forefront of intellectual change in Africa. We are, therefore well-placed, to help catalyze these institutions into agents of effective change by (1) strengthening their capacity, and (2) increasing their ability to network with each other. We are on the forefront of building an Africa-wide informed public discourse on the great ideas of development.

Third, we are a small enough office to work synergistically, to bring together our experiences in local management of natural resources and local parent-teachers associations to inform our work in devolving control of health centers to local authorities. We have not done this as effectively as we've wanted to in the past, but re-engineering will now give us the opportunity

to take advantage of our built-in strengths.

AFR/SD'S COMPARATIVE WEAKNESSES. Just as we bring particular strengths to our partnerships, we depend on our partners for the strengths they provide as well:

- ! We do not possess the vast specialized resources of the Global Bureau, nor are we particularly well-placed to bring to bear on Africa lessons the Agency has learned in its work in other parts of the world.
- ! We are not as nimble nor as well-placed as the REDSOs to respond quickly to Mission requests for technical assistance in implementation or activity design.
- ! We do not implement development projects or provide services to national governments and organizations as do the bilateral programs.
- ! Our technical strengths, for historic reasons, are not equal across all areas of development -- there are several areas where we have limited capacity.

It is in this working together, each organization bringing its particular strengths, that we are best able to accomplish our joint development objectives. Even disagreements among organizations working on the same problem are important, for as the Book of Proverbs says (27:17), "As iron sharpens iron, so one man sharpens another," which could be paraphrased as iron sharpens iron, so one opinion sharpens and hones another.

WHY DOES IT MATTER? What is the value added of AFR/SD's programs? AFR/SD envisages itself as a trimtab. On large ships, the water resistance is so great that it is impossible (or at least very expensive) to turn the rudder itself. Therefore at the base of each rudder is a small rudder, called a trimtab. The helmsman turns the wheel and that moves the trimtab, which, being much smaller, meets less resistance. But the trimtab acts like a small rudder for the rudder itself, and thus turning the trimtab turns the rudder, which, in turn, turns the ship. If we think of the ship as development investments or programs, the ship goes in the right direction (toward some sustainable development harbor) if the policies and strategies (the rudder) point it in that direction. AFR/SD, then, acts as a trimtab helping to point the policies and strategies in the right direction which then turns the ship (programs and investments) in the right direction, which in turn leads to sustainable development progress.

Now clearly, AFR/SD is not involved in all development programs in Africa, or even all of USAID's development programs in Africa. The existing stock of capital in sub-Saharan Africa, public and private, is about one trillion dollars, and AFR/SD is involved in programs which may affect say, one-half of one percent of that capital, or five billion dollars. If we, by improving the use of these resources, can add one percentage point to the rate of return, we can see our \$40 million annual investment achieve a rate of return of more than 100%, higher than most USAID investments. The following examples demonstrate how effective this role is.

- ! AFR/SD, together with REDSO/ESA has been working with a group of East African researchers examining transport costs in East Africa. This group has gone beyond analysis and, working with the fledgling East African Community, has actually

implemented some changes in transport policy which are leading to savings of \$12 million per year. In economic terms, the net present value of this activity alone exceeds all of SD's budget for a year. And this is actually (in budget terms) less than 1% of SD's activities.

- ! AFR/SD has been working with WHO/AFRO to develop a strategic framework for AFRO for dealing with epidemic diseases. That framework is now in place and will be used by AFRO in helping West African countries develop their own strategies for epidemic readiness. Effective programs will save the U.S. substantial amounts in providing emergency responses to epidemic diseases. For example, the last meningitis epidemic in West Africa led to the U.S. providing \$500,000 worth of emergency vaccines alone (an amount serendipitously equal to what we intend to spend in this area).

HOW WE DO IT. Much of this section comes from a study developed by AFR/SD.⁶ The paper's key conclusions are:

- ! Changes in policy and policy implementation rarely result from a linear process of generating research, laying out policy options, choosing between alternatives, and evaluating the implementation of the selected option.
- ! Rather, changes come about through a process of iterative interactions among three "streams" of activity: defining the problem, suggesting solutions, and obtaining political consensus.
- ! Changes occur when the streams converge, presenting a "window of opportunity" that can be grasped by the vigilant proponent of reform.
- ! Advocacy plays an important role in these three streams. Indeed, policy champions are often necessary to put a problem on the agenda, bring a solution to the attention of decision makers, and galvanize political consensus. Advocacy implies a more dynamic approach to the presentation of information. In order to make a difference, not only does information need to be disseminated, but champions -- using this information -- must make the case for change with those who can actually influence policies and their implementation.
- ! Information is often more acceptable and, thus, more useful for advocacy when it is produced internally and not imported from the outside.⁷

This perspective has led AFR/SD to a variety of strategies to achieve policy change. First, the policy agenda is developed in close concert with our partners, many of whom are African institutions and analysts, and are likely to be the advocates of the reform. Second, our

⁶. Robert W. Porter, *Knowledge Utilization and the Process of Policy Formation: Toward a Framework for Africa* (Jan, 1995).

⁷. *ibid*, p. v.

analysis is done, to the extent possible, in partnership with these same people and groups, thus giving them a stake in the outcome, and at the same time strengthening their long-term capacity for policy analysis and advocacy. Finally, by putting policy change as our objective, our focus goes well beyond generating and disseminating useful new information. All of our partners know that the purpose of all of our activities is to bring more effective ideas to the design of policies, programs and strategies, but the ideas are useless if they are not adopted by policy-makers and program designers.

Over the years, AFR/SD and its predecessors developed a model for doing business that can be thought of as going through the following phases:

- ! **Work with our partners to develop a series of important, policy-related areas of inquiry.** For example, in the early 1990's AFR/SD became concerned that immunization rates in Africa were on the decline. This led us to do a quick study, calling on our missions for information, to confirm that observation. The analytical question was what had happened to lead to this decline.
- ! **Undertake analysis using African researchers to the extent possible.** In this case, we worked with our Missions, the Global Bureau, and particularly UNICEF to understand what had happened. The most important proximate cause was a decline in donor funding to UNICEF for vaccines.
- ! **Convert that analysis into policy-relevant ideas.** Outcomes of the analysis which emphasized more attention to sustainability and country ownership were highlighted in the WHO/AFRO regional strategy supported by USAID and endorsed by the African Regional Interagency Coordinating Committee for Immunizations and the Task Force on Immunizations.
- ! **Disseminate these ideas broadly and advocate, with all our partners, their adoption.** Participation in sub-regional and regional meetings on immunization with countries and major funding agencies has permitted advocacy for issues of the development of indicators of sustainability, including improved budgeting and analysis of needs.
- ! **Use our strategic support to help get the ideas embedded in USAID's and other programs.** USAID grants to UNICEF and WHO/AFRO incorporated sustainability and country ownership and were incorporated into immunization programs in 20 countries.
- ! **Evaluate and modify.** In 1997, a joint review by major partners and country nationals will be conducted of the USAID grants to UNICEF country programs for the Expanded Program of Immunization (EPI). These reviews will assess the progress made under the grants in reaching the objectives of sustainability and will identify future needs and directions to ensure a sustainable EPI.

Like most of AID we are also trying to work ourselves out of a job. It is very important that the long-run capacity for policy-analysis and implementation in Africa be strengthened across all development sectors. In part, our model for transforming development ideas in Africa, through an intensive use of African researchers and research institutions, does this indirectly. But such an approach is not sufficient. In the long term we must provide assistance to these institutions and analysts so that the process of policy analysis becomes increasingly African-owned and operated. This approach will become clearer as we present our strategy in a more detailed way in the next section.

PART III: PROPOSED STRATEGIC OBJECTIVES

OVERVIEW

The strategy presented below will be different from country strategies in at least two important ways. In the first place the breadth of the strategy is greater than those of most missions as it covers every aspect of USAID's programs in Africa. In developing the strategy we found that a clear presentation of what we intend to do required us to have narrow, focussed strategic objectives. We started out with much broader SOs, but found that lumping, for example, all health and population activities in one strategic objective tended to obscure the strategy, dropping important intermediate results to lower levels, and producing compound objectives. As a result the strategy below contains ten strategic objectives, one strategic support objective, and one special objective.

Second, while our strategy is quite broad, it is also quite shallow, in that we do not do (with rare exceptions) direct implementation of development programs. We have found that the causal logic suggested by reengineering gurus does not really fit AFR/SD's role. In fact there are two logics here. The first, how we accomplish our objectives, has been presented in Part II above. This is the logic of transforming analysis and research into policy and program change, and is the same across everything we do. However, the more traditional development logic, how agriculture research and extension and infrastructure leads to increased agricultural production, is not relevant to what AFR/SD does.

In general, our strategic objectives will have two intermediate results (IRs). The first one will lay out what we think are the important areas of inquiry, the "whats," what we called in the past our "analytical agenda." This will be a very selective list, and there is no assertion that we are covering all the necessary and sufficient areas of inquiry (or that other partners are). We will discuss why we chose these specific elements, and why we believe this choice reflects our comparative advantage, but we will not pretend that there is a causal logic between this set of choices and the strategic objective outcome. In fact, our SOs will be much more like "catalogs" (a dreaded word in reengineering parlance) than causally-linked objective trees. The second IR will comprise what we intend to do to improve the enabling environment for sustained policy improvement. Once again, this will be a selective, non-causal list that reflects both what we believe is important, and the limited role our Office performs.

GOALS AND SUB-GOALS

Over the period of this strategy, the face of Africa will be changing. Africa, in the year 2003, will be more peaceful, more stable, more free, more connected to the global economy, more independent, more decentralized, and less poor. As we discussed in the Part I, the basis for long-term change lies in strengthening the development institutions of a society, increasing the stock of human capital, and developing effective policies, strategies and programs to implement the vision of its leaders. We feel AFR/SD is well placed to have a positive impact on these institutions, human capacities and strategies.

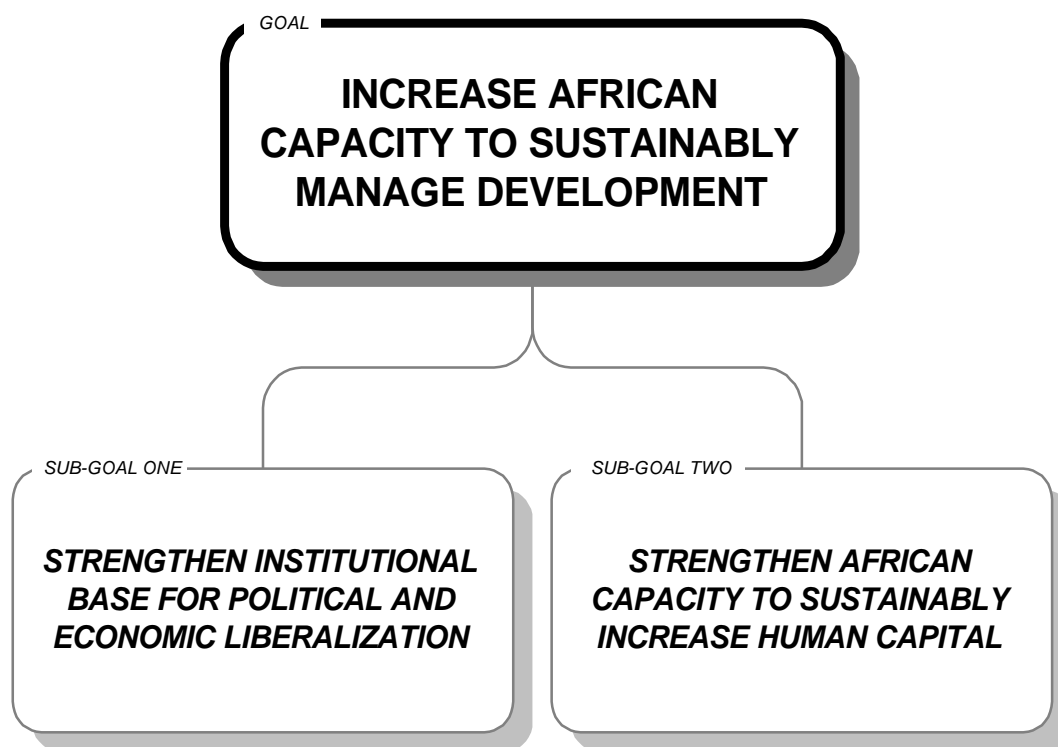


Figure 1

Fundamentally, our development goal is to transfer the responsibility for development in Africa to Africans and their institutions, through strengthening the capacity of Africans to design and implement improved development policies, programs and strategies. To paraphrase the goal of the Mali Strategic Plan, we are looking toward "More Africa, Less USAID." In essence we seek to put real meaning into the phrase "sustainable development," by putting much greater emphasis on the word "sustainable."

GOAL: INCREASE AFRICAN CAPACITY TO SUSTAINABLY MANAGE DEVELOPMENT

One of the key challenges African countries will face is in the development of institutions of governance at all levels. The nature of the relationships between state and citizen, between public and private sector, between the center and the periphery is evolving rapidly. There are dozens of new institutional experiments taking place today on the continent. Out of this ferment, out of this excitement will come the institutional forms that shape the future. These institutions must be able to provide political stability, public sector accountability, and an enabling environment for private sector-led growth. Therefore, AFR/SD's first sub-goal is:

SUB-GOAL ONE: STRENGTHEN THE INSTITUTIONAL BASE FOR POLITICAL AND ECONOMIC LIBERALIZATION

What are these institutions? Effective governments, efficient markets, and vibrant civil society organizations. Included under this sub-goal are our strategic objectives that are linked to the Agency's goals in economic growth, democracy and the environment (see figures 1 and 2). As we noted in Part I, sustainable development also depends on an increase in the stock of human capital. Therefore, AFR/SD's second sub-goal is:

SUB-GOAL TWO: STRENGTHEN AFRICAN CAPACITY TO SUSTAINABLY INCREASE HUMAN CAPITAL

This sub-goal includes our strategic objectives in health, population and education, and is linked to the Agency's goals in economic growth and health and population (see figure 3).

Finally, our program will also include one cross-cutting strategic objective dealing with the many crisis situations which African countries face, one strategic support objective, and one special objective (see figure 4).

STRENGTHEN INSTITUTIONAL BASE FOR POLITICAL AND ECONOMIC LIBERALIZATION

Strategic Objective 1

Strengthen Cross-Sectoral Synergies Between Democracy and Governance and Africa Bureau Programs in Key Areas

Strategic Objective 2

Adoption of Improved Strategies, Programs and Activities For Accelerated, Sustainable, and Equitable Economic Growth

Strategic Objective 3

Adoption of Improved Agricultural Policies, Programs, and Strategies

Strategic Objective 4

Adoption of Affordable and More Effective Mechanisms for Producing, Sharing, and Using Development Information

Strategic Objective 5

Accelerate Progress in the Spread of Strategically Viable and Environmentally Sound Environmental Management Systems

Figure 2

STRENGTHEN AFRICAN CAPACITY TO SUSTAINABLY INCREASE HUMAN CAPITAL

Strategic Objective 6

Adoption of Policies and Strategies for Increased
Sustainability, Efficiency, and Equity of
Basic Education Services

Strategic Objective 7

Adoption of Policies and Strategies for Increased
Sustainability, Quality, Efficiency, and Equity
of Health Services

Strategic Objective 8

Adoption of Policies and Strategies for Increased
Sustainability and Quality of Family Planning Services

Strategic Objective 9

Adoption of Cost-Effective Strategies to Prevent the
Spread and Mitigate the Impact of HIV/AIDS

Figure 3

CROSS-CUTTING STRATEGIC OBJECTIVES AND SPECIAL OBJECTIVES

Strategic Objective 10

Improve Policies, Strategies and Programs for
Preventing, Mitigating, and Transiting Out of Crises

Strategic Support Objective

Adoption of Effective Tools, Methods, and Approaches for
Improving Application of Environmental Procedures and
Strategies in Missions' and Africans' Programs

Special Objective

Polio Eradicated in Selected Countries in a Manner
That Builds Sustainable Immunization Programs

Figure 4

**STRATEGIC
OBJECTIVE 1:**

**STRENGTHENED CROSS-SECTORAL SYNERGIES BETWEEN
DEMOCRACY AND GOVERNANCE AND AFRICA BUREAU
PROGRAMS IN KEY AREAS.**

BY THE YEAR 2003

- ! USAID will have a much better understanding of the decentralization and local government experiments being conducted throughout Africa:
- ! USAID will know, to a much greater extent than we do now, how to strengthen local capacity to manage development, how to build financially accountable local organizations, what political structures work to ensure democratic practices at the local level.;
- ! Six countries will be using improved policies and strategies for decentralization and local governance as a result of our efforts; and
- ! There would be in place an active and analytically sound network of local authorities sharing experiences and practices

THE DEVELOPMENT OPPORTUNITY

We firmly believe that Africa is going through a period of profound political and economic change. In 1990, only three countries in Africa were considered to be democracies; by 1996 over 20 countries could be described as being in some form of democratic transition. These dramatic developments have been accompanied by a growing emphasis on the formal redistribution of political and economic power through decentralization programs under consideration in over 30 countries in Africa. Compared to 1990, many African governments now have more effective and larger numbers of political parties, experienced first (in some cases second) rounds of Presidential and Parliamentary elections, greater access to information through a freer, vibrant, and larger media, and greater accountability of political leadership to the people through a stronger and more vocal civil society articulating the interests of the people. These are significant changes, with the potential to profoundly affect the daily lives of most Africans.

Yet this process of political development is still in its early stages, and serious obstacles to continued democratic consolidation and economic development remain. Many of the new African democracies are fragile, susceptible to instability from a number of areas such as; the political fallout from the economic impact of structural adjustment programs, internal conflict between ethnic or political groups within these societies, issues of political succession both

within parties and nationally, or conflict stemming from disputed electoral results. In addition, efforts to devolve power to the people through decentralization programs are also still in their infancy, and vulnerable to manipulation, political indifference or limitation by central governments. At present, many attempts at decentralization have produced deconcentration rather than real devolution of power to lower levels of government.

Our own democracy was an evolutionary process, with the political power in the early years concentrated in the hands of the upper and middle classes. Moreover, the American Civil War demonstrates the problems governments (perhaps, particularly democracies) have in maintaining stability when issues are viewed from a regional or ethnic perspective. It was not until civil society within the U.S. firmly took root and performed the advocacy roles which we now seek for young African Civil Society Organizations (CSOs) to emulate, that the changes occurred which democratized the American republican form of government.

MAKING DEMOCRACY WORK

"The twentieth century is ending, as it began, with high aspirations for extending the benefits of democratic self-government to ever larger numbers of men and women. What factors will affect whether these hopes will be realized? This is one lesson gleaned from our research ...Tocqueville was right: Democratic government is strengthened, not weakened, when it faces a vigorous civil society."

Robert D. Putnam. *Making Democracy Work*

In sum, much has been accomplished in the area of political development in Africa, but there remain significant opportunities to positively influence the transition to and consolidation of democratic political regimes in Africa. Until an institutional basis for democracy is established - at the least, a sense of nationhood, a commitment to constitutional processes, a perception that political rivals are not enemies, but competitors, and a shared vision of basic national values -- African regimes are likely to be unstable. It is this unstable environment that prevents growth in all other sectors.

STRATEGY (See figure 5)

AFR/SD's strategic objective is consistent with of the Agency's goal of "sustainable democracies built." The strategy also reflects AFR/SD's comparative advantage of being able to weave good governance practices in all sectors thereby contributing to the other Agency's goals. For example, the importance of economic growth and good governance becomes clearer as we see the failure of structural adjustment programs to achieve anticipated levels of growth. Moreover, there is a direct linkage between what goes on in the health, education, crisis/conflict, urban growth sectors, among others, and the way democratic governance systems and ideals are incorporated at the community level.

Based on our evaluation and understanding of the Global Bureau's Democracy and Governance Center's (G/DG's) role and programs - and mission needs - we believe that there

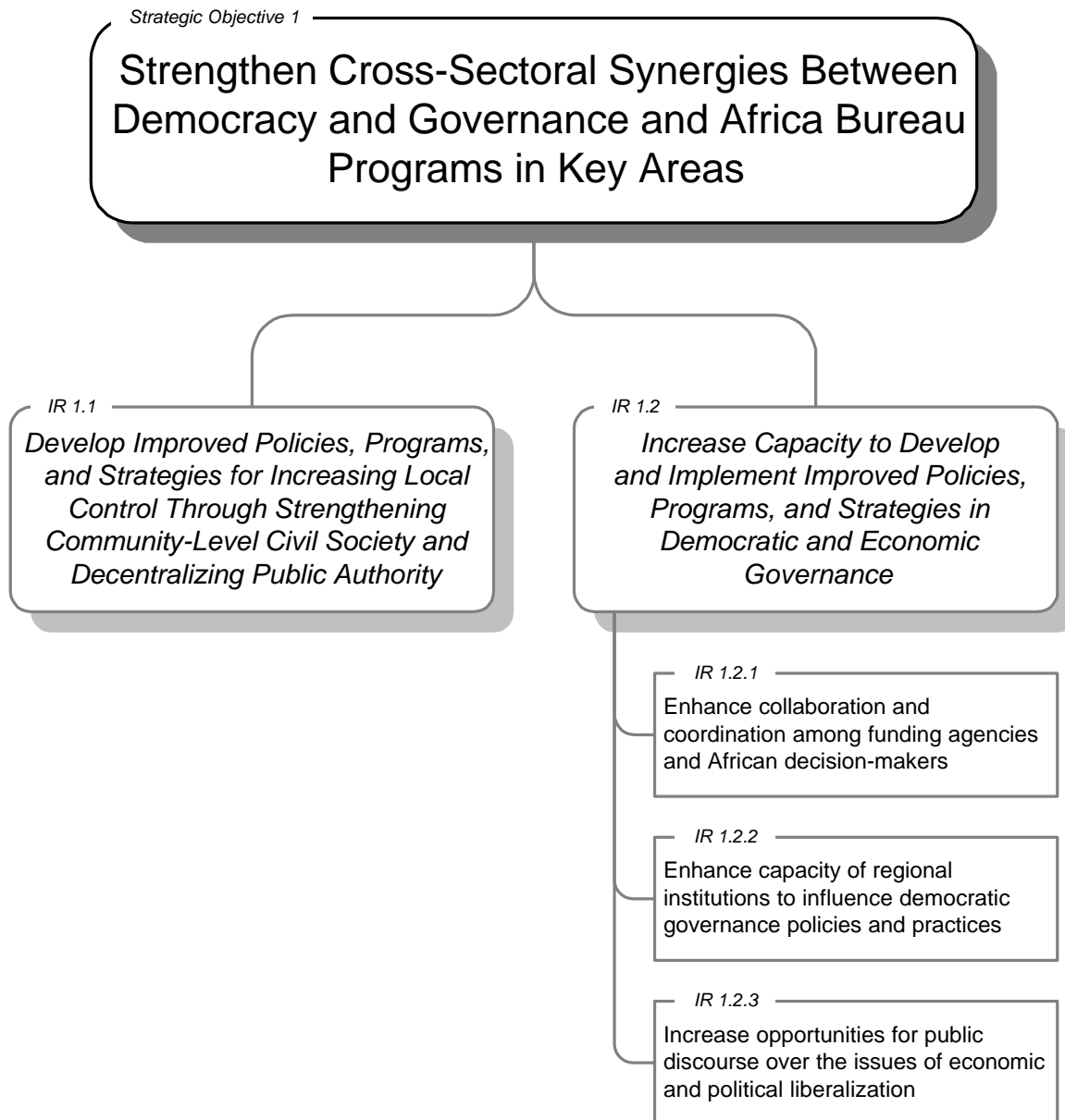


Figure 5

is an area of opportunity for SD in addressing civil society and decentralization issues

at the community level. As a consequence, we will not be working in areas of rule of law, electoral processes, legislative strengthening, and political accountability. These areas will primarily be the responsibility of the Democracy Center. What we will do is build on our particular strengths, the work that our Office has already done in decentralization and local capacity building in such sectors as education, health and natural resource management.

IR 1.1 Policies, programs and strategies in selected areas of democratic governance Improved

We will be limiting our activities to two areas of democratic governance: civil society and decentralization. These are areas already being addressed by a number of our other SOs on a sectoral basis. The focus of this strategic objective is to synthesize the experiences of our work in education, natural resource management, and economic policy change so as to inform future sectoral and cross-sectoral work in this area.

As we noted above this is an area of particularly rich experimentation. It is an area with great possibilities and considerable pitfalls. Our Missions are working in decentralized systems in Ethiopia, South Africa, Zambia, Eritrea, Mali and virtually every other African country. What we will be doing is examining these experiences across all sectors, distilling best practices, cataloging different approaches to financial management, local accountability, resource mobilization, roles of traditional governance systems, roles of local civil society organizations, etc. As our understanding of this process deepens we will be incorporating lessons into the various sector programs and into those Mission programs which have D/G activities in decentralization.

IR 1.2 Increased capacity to develop and implement improved policies, programs and strategies in democratic governance.

In addition to working directly at developing improved strategies, policies and programs, we will, in IR 1.2, be expanding the capacity of African institutions and our other partners to do the same. In part we will be doing this by leavening the discourse, by expanding the breadth of non-governmental and governmental participants in these policy discussions. We will also be acting to strengthen directly regional networks and organizations which are working on these issues. Part of this work will be done through many of the sectoral networks we work with: for example, the Association for the Development of Education in Africa (ADEA) and the Network on the Environment and Sustainable Development in Africa (NESDA). We will also be building a new network of local government authorities (we have begun this with our work in urban family planning). Using the New Partnership Initiative (NPI), we will be seeking to strengthen linkages between local government authorities in Africa and local governments in the United States.

**STRATEGIC
OBJECTIVE 2:**

**ADOPTION OF IMPROVED STRATEGIES, PROGRAMS AND
ACTIVITIES FOR ACCELERATED, SUSTAINABLE AND EQUITABLE
ECONOMIC GROWTH**

BY THE YEAR 2003

- ! Eighteen countries will have liberalized their trade and investment regimes, adopted improved policies and strategies to mobilize domestic resources, liberalized key product markets or privatized key state owned industries.
- ! Over 50% of AFR/SD's economic research and analysis will be carried out by Africans and African institutions.
- ! The number of African policy making and training institutions established or strengthened through USAID supported intermediaries will double from 23 in 1996 to 46 in 2003.
- ! The number of advanced degree holders graduating from institutions strengthened through USAID supported intermediaries will increase from 400 in 1996 to 1400 in 2003. The number of graduate economics and management programs strengthened will increase from 33 in 1996 to 39 in 2003.
- ! A deeper understanding of approaches to maximize the positive effects and minimize the negative effects of growth strategies, policies, and activities on the poor will be synthesized and broadly disseminated.
- ! Cost-effective methods for monitoring growth rates or household income will be developed and used by eight African countries.

THE DEVELOPMENT OPPORTUNITY

For most countries in Africa, the period after independence was a period of rapid growth; but with the onset of the international stagflation brought about by the two oil crises in 1974 and 1979, the underlying weaknesses of these economies was revealed and, for the most part, they went into free fall. By the mid-1980s the crisis was full-blown, and per capita GDP levels fell towards where they had been at independence. Beginning in 1983, but especially from 1985 on, most countries in Africa entered upon massive reform programs. While the breadth of these programs was impressive, the depth was more modest, and, as the World Bank reported, none of the African countries had policy environments that approached those of the best performing countries in the developing world.

SACHS ON AFRICAN GROWTH

Africa's growth rates are not huge mysteries. The evidence on cross-country growth suggests that Africa's chronically low growth can be explained by standard economic variables linked to identifiable (and remediable) policies. Remedies that have worked in East Asia can also work, with suitable modification, in Africa. Where they have been tried--in Mauritius, to some extent in Botswana and (very recently) Uganda--the result has been growth at East Asian rates.

Jeff Sachs, June 1996.

As a result of these reform programs, and the uptick in assistance that accompanied them, most of these countries saw a turn-around in growth rates, from one to two percent before adjustment to 4% after adjustment. The problem is, that even this doubling or tripling of growth rates, given high rates of population growth, only leads to growth in per capita income of 1% per year. At these rates each generation would be 27% better off than the preceding one, and it would take 72 years for per capita income to double. At 2% per capita growth, each generation is 61% better off, and it takes 36 years for per capita income to double, while at 3% growth, each generation (24 years) experiences a doubling of income. Thus, much is gained in terms of welfare from increasing growth rates 25%, from 4% to 5%, and much more from increasing these rates by one-third, from 4% to 6%. How can this extra growth be squeezed out of the

economy? Equally important, can 6% annual growth occur so that it is sustainable, and raises most of the poor out of poverty in two generations?

We believe that it is possible for African countries to mimic the growth experiences of the East Asian tigers and join the wave of emerging economies that are now key players in international markets. In order to do so, economic reforms need to be broadened and deepened. Fortunately, there is a growing consensus over a minimum set of policy reforms that might lead to accelerated growth. For example, Jeff Sachs, using cross-country regression analysis, suggests important roles for a small number of key variables: macroeconomic stability, domestic resource mobilization, the level of human capital, openness to trade and investment, and efficient markets designed to stimulate growth of the private sector.

More progress along these lines has been made than is often recognized. Of 31 poor, heavily indebted sub-Saharan countries in 1995, 14 countries, accounting for 54 percent of the sample population, had political and macroeconomic stability, and had also implemented a minimum set of efficient resource allocation policies. In 1995, these countries grew at an annual rate of 5.4 percent. Nevertheless, much more remains to be done.

Slow progress on policy reform, and intermittent backsliding, have been prominent features of African reform programs for a number of reasons. Limited African ownership of the reform process has been a primary cause. The scarcity of trained personnel working within their own countries in key technical and management positions, and the relative weakness of the policy-

THE WEALTH OF NATIONS

"Little else is requisite to carry a state to the highest degree of opulence from the lowest barbarism, but peace, easy taxes, and tolerable administration of justice"

Adam Smith, 1755.

making units and institutions that employ them, have been major contributing factors.

Moreover, increasing integration of the global economy is raising the stakes both for African policy makers and African producers. "Globalization" can improve the prospects for increased growth and substantial poverty reduction in Africa by enlarging markets, promoting foreign investment, and facilitating the transfer of technology and knowledge. An inadequate response to these same changes, on the other hand, could result in further marginalization of African states in the world economy.

The central issue facing African countries now is to move to sustained levels of significantly higher growth that will substantially reduce poverty. The challenge is to build on recent increases in the growth rate and to strengthen the impact of growth on the lives of the poor.

STRATEGY (See Figure 6)

AFR/SD'S role will be to help deepen and strengthen the economic reforms needed to sustain growth and reduce poverty. We propose to do this in three ways: (1) collaboratively increasing the stock of knowledge useful to better manage an open, market oriented economy; (2) strengthening African capacity to design, manage, implement, and evaluate improved economic policies; and (3) supporting and collaborating with USAID Missions and other development partners engaged in related activities. AFR/SD's strategy will incorporate the Africa Bureau's contribution to the Administration's Initiative on Trade and Investment in Africa.

Over the next six years AFR/SD will help our partners implement economic reforms more broadly and more deeply than they have been able to thus far. Equally important, we will be working increasingly with and through a number of African institutions so as to increase the capacity of Africans to design, implement, manage and evaluate the economic reform process.

IR 2.1 Improved strategies, policies and activities to accelerate sustainable and equitable growth.

As we noted above, accelerated growth in Africa is possible if economic policies are modified to encourage such growth. In general the policies themselves are well-known. What is less clear is the process of policy implementation. In particular, as the policy agenda moves from "stroke of the pen" reforms such as price liberalization to the second generation of policy issues -- privatization, civil service reform, tax reform, budget management, the difficulties of reform and the management of reform become much more complicated. AFR/SD will help African governments, USAID missions and other donors develop more effective economic policies and strategies in these second generation reform issues.

Adoption of Improved Strategies, Programs and Activities For Accelerated, Sustainable, and Equitable Economic Growth

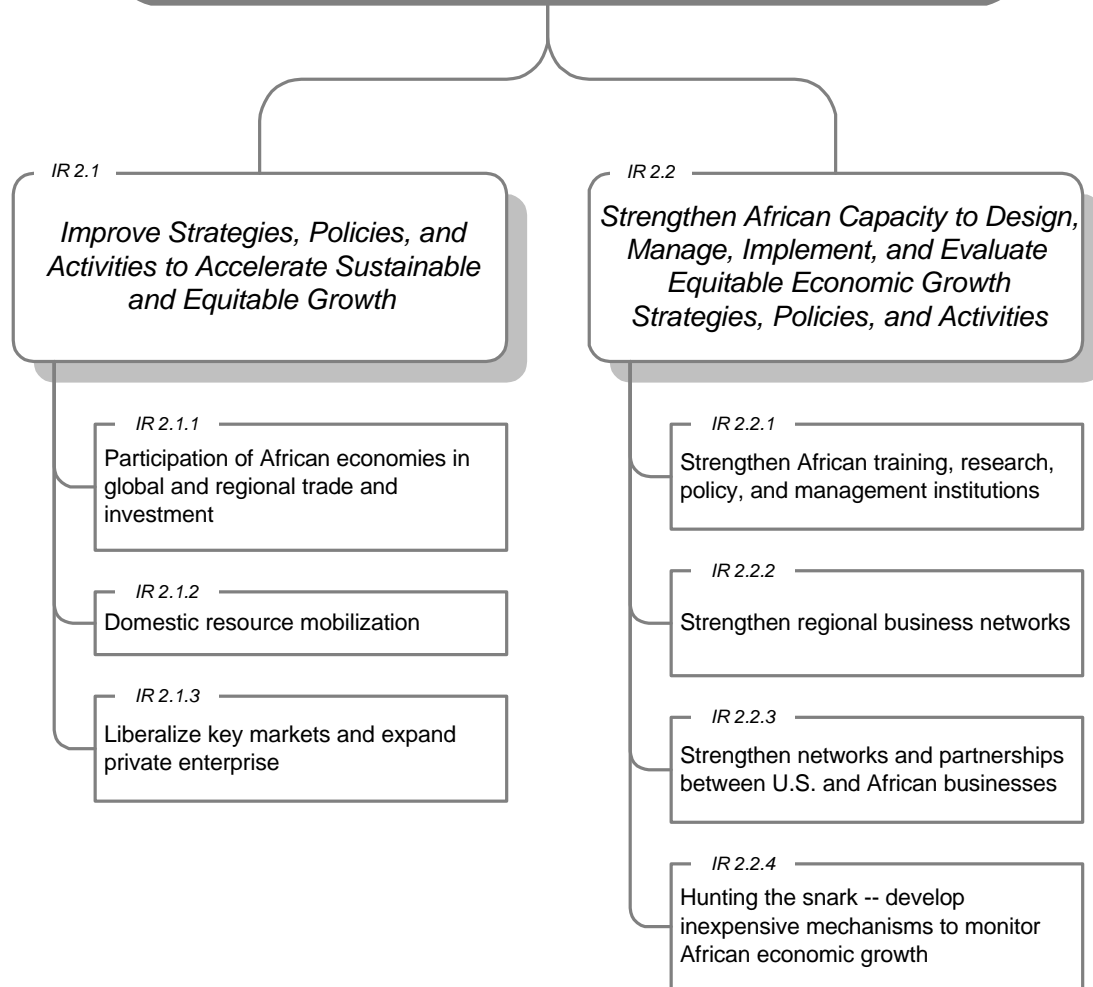


Figure 6

IR 2.1.1 Improved strategies, policies, strategies and activities to increase participation of African economies in global and regional trade and investment.

One of the lessons of the Asian experience is the importance of an open economy. The traditional reasons of comparative advantage and economic efficiency are very important, but even more important is the dynamic efficiency created by competing in the world economy. This is where learning by doing and the toughness created by competing globally make export and import competing industries more and more productive, and is an important source of growth. Many of the policy impediments to export promotion are being removed, although much remains to be done. In particular, ways have to be found to replace trade taxes with other sources of finance if African economies are to become more open. In fact, fiscal and trade policy are inextricably linked.

As part of the African Trade and Investment Initiative, AFR/SD will provide short term technical assistance to eligible countries to enable them to:

- ! implement trade reforms, including tariff reform
- ! implement tax reforms and improve tax collection
- ! become members of the World trade Organization
- ! promote an enabling environment for the private sector, by helping with investment codes and deregulation
- ! develop financial markets at every level: stock markets, venture capital firms, credit unions, microenterprise finance
- ! support privatization programs

IR 2.1.2 Improved strategies, policies and activities to increased domestic resource mobilization.

Everyone agrees that the sustainable development of African economies depends on private investment and private activity. While we know that in general private investment responds to the profitability and risk inherent in any particular opportunity, we are not sure why private investment seems to continue to be sluggish in reforming countries. Is this because of concerns with respect to political stability? financial crowding out? inconsistent public policy? problems with financial markets? How can financial markets be made more responsive to investor's needs? What can be done in the areas of contract enforcement? What is the proper role of donors and governments beyond creating an enabling environment for private investment?

We know that a key factor in accelerating growth is to increase private savings and investment. We also know that many of the financial intermediation models are not working well. Public development banks have largely proved to be failures, while private markets have been too oligopolistic to be effective at financial intermediation. There are, however, a number of new mechanisms that are emerging in the many of the African countries. These mechanisms or institutions include: venture capital firms, poverty lending institutions, stock markets, enterprise funds, non-banks, and others, some fostered by donors, but many arising from the creativity of the private sector. We need to learn which of these experiences are

effective and why.

Over the strategy period, AFR/SD will be developing answers to these questions, translating these answers into effective strategies and policies, and working with our partners to improve financial markets and increase domestic resource mobilization.

IR 2.1.3 Improved strategies, policies and activities to liberalize key markets and expand private enterprise.

Over the planning period, we will support efforts to expand private sector activity by supporting privatization programs, deregulation, and the establishment of a legal, regulatory and judicial environment that will encourage private investment.

IR 2.2 Strengthened African capacity to design, manage, implement and evaluate equitable economic growth strategies, policies and activities.

IR 2.2.1 Strengthened capacity of African training, research, policy, and management institutions.

Although the trends toward stabilization has begun to show results in terms of improved growth rates and overall economic performance, there still remains an important constraint to future progress—the lack of African personnel working within their own countries in key technical and institutional positions. Given the abuses and insecurity of the past, conditions and terms of employment in key economic and technical roles need to be greatly enhanced in order to attract skilled personnel. This SO will facilitate this by strengthening national and regional economic training institutions as well as governmental and autonomous policy units and institutions.

Activities under this IR will provide support for building up sustainable institutions that will allow Africans to effectively manage their own development process. The focus will be to strengthen national and regional institutions which are engaged in policy relevant research and provide training to increase technical expertise. At the national level, examples include support to semi-autonomous policy institutes such as the Economic Policy Research Centre in Uganda, and at the regional level, support will be provided to institutes such as the African Economic Research Consortium and the International center for Economic Growth.

IR 2.2.2 Strengthened regional business networks

AFR/SD and its predecessor, AFR/ONI, have over the years supported a number of networks of African entrepreneurs. These networks serve as venues for sharing information, making deals and strengthening the capacity of businesses to engage government in policy dialogue. We will continue to support these networks catalytically, but expect that the more mature networks will be totally financially independent over the next few years.

IR 2.2.3 Strengthened partnerships between African and American Businesses

As part of the Africa trade and investment initiative, AFR/SD will work to strengthen partnerships between African and American businesses and African and American business associations. As in our decentralization efforts we will be basing these activities on the principles of the New partnership initiative.

IR 2.2.4 Hunting the snark -- inexpensive mechanisms to monitor African economic growth developed.

There are all kinds of explanations for Africa's limited "supply response" -- the lack of acceleration of the rate of growth to levels above 4%. However, the starting place must be our uncertainty about what the rate of growth is. Three things make it difficult to measure real growth. First, there has been a breakdown of the statistical services, just as there have been reductions in capacity of other parts of government. Second, the structure of the economy has changed in favor of sectors that didn't exist or were unmeasured before structural adjustment. Finally, the most dynamic sectors, the informal and small enterprise sectors, have never been measured effectively. We do not really know what the level of economic activity is, let alone its rate of change.

This means that we are unable to measure the very phenomenon we are trying to change. Thus we are reduced to studying and analyzing data we know are wrong, and systematically wrong. If we are unable to measure growth, and are unaware whether or not it is occurring, then we will be unable to accelerate it. Over the strategy period, AFR/SD will develop new and hopefully cheap proxy measures that enable us to monitor progress, and also understand some of its causes. This is clearly the first step in any analytical approach to economic growth in Africa.

**STRATEGIC
OBJECTIVE 3:**

**IMPROVED AGRICULTURE POLICIES, PROGRAMS AND
STRATEGIES**

BY THE YEAR 2003

- ! Subregional technology development and transfer strategies will be in place in East, Southern and West Africa. The strategies will help to guide and concentrate resource of donors and African governments on programs and subsectors with real prospects for growth and that account for at least 35% of subregional agricultural GDP.
- ! At least twelve countries will have active programs which rapidly expand access to modern agricultural inputs, especially fertilizer.
- ! Twelve countries will have adopted programs which expand efficient private sector agricultural marketing and service delivery options.
- ! Six USAID Missions will have programs in place for increasing the impact of agriculture on nutrition..
- ! Six national agricultural research institutions will be implementing strategic management and sustainable financing strategies.
- ! The private and public sectors will have a stronger capacity to identify, dialogue about, and promote improved policies, programs, and strategies in agricultural marketing and rural services.
- ! Improved information systems on food security, agriculture, poverty, nutrition, and cross-sectoral linkages will be developed and used by six African and donor partners.

DEVELOPMENT OPPORTUNITY:

This strategic objective will address two of the most compelling problems in Africa - - food and poverty. It will contribute to development efforts attempting to resolve these problems by working with Field Missions and African partners to design and implement options to increase the performance and impact of agricultural programs, policies and strategies. The SO will help develop and extend African based knowledge, skills, tools, and mechanisms that shape effective program and policy options. The efforts supported through this SO will build on and extend the considerable field based experience USAID has in developing agriculture in Africa. It will help the Africa Bureau document results and extend lessons from USAID's efforts to improve the performance of the agricultural sector. Through this SO AFR/SD will provide assistance to USAID regional and bilateral Field Missions, African regional and national

organizations, and other donors.

Sub-Saharan Africa has enormous agricultural potential. We see our challenge as putting to work the best that USAID has to offer to assist Field Missions and our African partners to tap this potential. If we succeed, the success rates and impact of agricultural programs, policies and strategies will increase. In turn, rural incomes will increase, poverty will decline and food security will increase, especially among the younger portions of the population. Further, regional economic integration will increase, building on mutual interests among strong partners, that will, in turn, lead to increased growth and improved stability. In six years we expect subregional technology development and transfer strategies to be in place in East, Southern and West Africa. The strategies will help to guide and concentrate resource of donors and African governments on programs and subsectors with real prospects for growth and that account for at least 35% of subregional agricultural GDP. Improvements in the priority subsectors will accelerate the contribution of the agricultural sector to growth through increased trade, employment and incomes. We further expect that there will be a significant increase in the number of USAID and African Government funded programs that are successfully increasing the participation of private agents in the provision of agricultural services, especially in rural areas. In a large number of countries we expect to see a significant improvement in the policy environment, especially the removal of constraints to input intensification. And, we expect to see a healthy flow and use of knowledge and technology across borders resulting from improved information systems.

PROGRESS TO DATE

This strategy builds on USAID strengths in agriculture and food security. As a principal donor contributing to regional and bilateral agricultural development programs in Africa, USAID has developed effective linkages with African and other donor partners, and is viewed as a leader in agriculture. At present, there are agriculturally related strategic objectives in ten Africa Bureau Field Missions. And, there are integrated agricultural SOs and portfolios in all of the operating units with regional programs. AFR/SD will provide services to and jointly formulate activities with these groups to support agricultural strategy, program, and policy development.

In addition, through earlier efforts, such as the Policy Analysis, Research and Technical Support (PARTS) Project and the Private Sector Development Project, AFR/SD has established a strong, well performing, portfolio that provides strategic assistance to regional and national African organizations. This assistance strengthens the capacity of African organizations to craft, implement and sustain effective strategies, programs and policies. Among other things, these efforts have increased African access to profitable and sustainable technology; increased the provision of credit by African financing agents; considerably improved the environment for cross border collaboration in agriculture; and greatly enhanced the framework and opportunities for donor cooperation. These efforts are improving public and private support services in numerous countries and increasing the opportunities available to thousands of Africans. And they are generating improved ideas that are being used to guide agricultural development efforts in Africa. This new SO will build on the progress, linkages and momentum.

STRATEGY (See figure 7)

Food security, and associated poverty, is Africa's most fundamental development issue. Average availability of food (dietary energy supply) has increased in all regions over the past 20 years, with the exception of sub-Saharan Africa and South America during the past decade. Without improving the food security prospects on the continent -- by increasing agricultural productivity and earnings -- Africa's economic and social problems will deepen.

Agricultural programs and policies contribute to increasing food security in three ways. They increase the availability of food. They increase incomes that permit consumers to gain access to food and agricultural products. And they increase the quality of food, as well as make it possible for food to be more effectively utilized. The benefits of agricultural programs and policies extend beyond food security. By increasing household incomes they help generate the resources needed to pay for social services such as health and education. And, in Africa, as elsewhere, insufficient food breeds conflict and retards economic growth. Conversely, by promoting effective agricultural programs and policies we can sustainably prevent costly disasters.

The Office of Sustainable Development's strategic objective to improve agricultural programs, policies and strategies focuses on agricultural programs that sustainably increase food security and address critical needs for technological know how, marketing efficiency, and increased participation of the private sector that have thus far constrained performance of the agricultural sector in Africa. The improved agricultural programs, policies and strategies will also contribute to increased regional economic integration in Africa, which is necessary for sustained economic growth.

The SO will contribute to the Agency Goals for Economic Growth, Environment and Sustainable Democracies. More specifically, it contributes to Agency Objectives 1.1 for strengthened markets, 1.2 for expanded access and opportunity for the poor, 4.5 for sustainable natural resource management, and 2.3 for increased development of politically active civil society.

IR 3.1: Improved agricultural programs policies, and strategies promoted.

IR 3.1.1: Improved programs, policies and strategies for expanded, efficient private sector agricultural marketing and service delivery developed.

AFR/SD will assist African Field Missions and regional programs identify effective opportunities to increase the participation of private sector agents in the provision of agricultural marketing and services. Program options will focus on approaches to increase private sector participation in the provision of services related to seed, fertilizer, agricultural processing and rural financial services. They will address policy constraints that limit intensification of input supply and use. Activities will also assist USAID Field Missions identify and establish program options to increase participation in and overcome constraints to output marketing. A major long term Food Security Initiative, to be build on the FY98 pilot initiative, would require resources within AFR/SD for design and monitoring of the Initiative. This IR will comprise those activities under the SO which have the

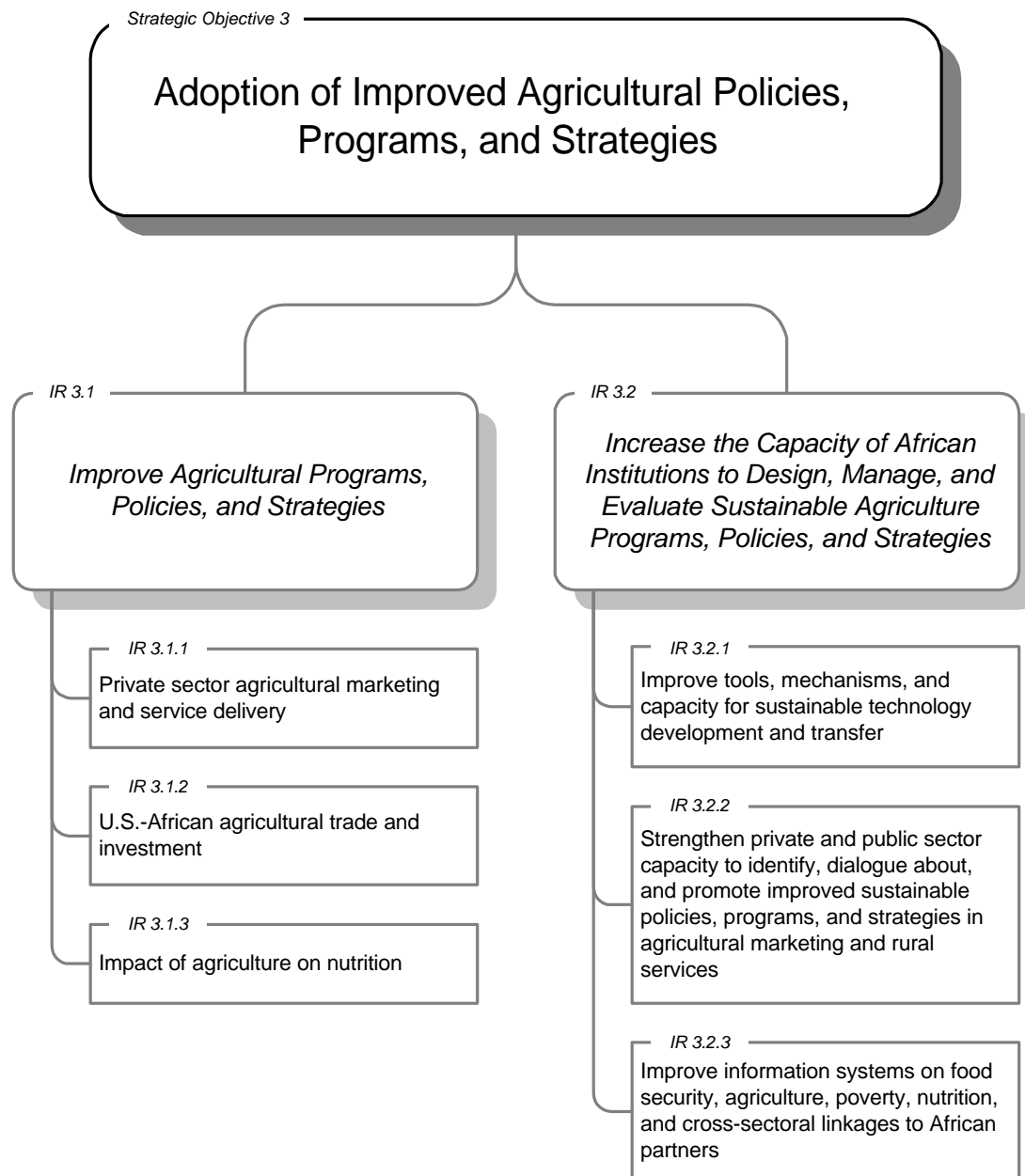


Figure 7

broadest and most direct relationship with ongoing USAID Mission programs, since most USAID Mission agriculture and food security activities are focused on policies and enterprise development related to marketing or service delivery through private channels.

IR 3.1.2: Policy, program, and collaboration/partnership options for US-African agricultural trade and investment are identified and promoted.

Under this IR, AFR/SD will provide technical assistance to help African governments improve the investment climate, and to help US and African firms establish business partnerships for trade and investment.

IR 3.1.3: Improved policy and program options for increased impact of agriculture on nutrition identified and disseminated.

This is a new and experimental component of the strategic objective. In the early phase, program and policy options will be identified that help focus attention on improved nutritional standards, increased capacity of African institutions to monitor and analyze nutrition and food access issues, and increase awareness of nutrition and agricultural linkages.

IR 3.2: Increased capacity of African institutions to design, manage, and evaluate agriculture programs, policies, and strategies.

IR 3.2.1: Improved tools, mechanisms, and capacity for technology development and transfer.

Activities to improve the tools, mechanisms and capacity for technology development and transfer will enable AFR/SD to influence and contribute to the efficiency of technology systems in Africa in responding to the demands for accelerated agricultural sector growth and sustained use of natural resources. Technology to increase the productivity of land and labor is a critical constraint to economic growth, incomes, and food security in Africa, and past AFR/SD research, done in cooperation with a broad range of partners, has demonstrated the extremely high returns and impact of technology related activities. Unfortunately, portfolio changes, staff reductions, and resource constraints have all but eliminated such activities from the bilateral USAID portfolios, leaving regional programs as the primary source of support to such activities.

Given the need, the high returns, and the strong and effective partnership arrangements AFR/SD has in such activities, this will continue to be a key part of the AFR/SD portfolio in agriculture. The activities under this IR will lead to improved strategies among African regional and national technology organizations that increase opportunities for the poor. These strategies will build coalitions among a broad range of stakeholders that will inform decisions on where to focus technical resources and support services and how to implement collaborative cross country programs to support food security and growth in Africa. The activities will also promote and lead to improved technical programs that concentrate efforts on binding constraints in the commodity system, wherever they occur. The improved programs and strategies will increase the participation of the private sector (for profit and not for profit) in efforts to increase access to and use of technology. With AFR/SD support leading to more

sustainable subregional institutions, over the five year period, AFR/SD's support to sub-regional technology development and transfer activities will evolve, with funding and primary support and management shifting to other donors, NARS, and USAID subregional units.

IR 3.2.2: Strengthened private and public sector capacity to identify, dialogue about, and promote improved policies, programs, and strategies in agricultural marketing and rural services.

Similar in problem focus to IR 3.1.1 above, activities under this IR will aim explicitly at increasing the ability of African agribusiness associations, other trade groups, governments, and various networks and subregional and regional organizations to identify policies, programs, and strategies, and promote and dialogue on them, with a view towards creating a better environment for input supply, marketing of farm and agribusiness products, and the efficient and effective private sector delivery of rural agribusiness services.

IR 3.2.3: Improved information systems on food security, agriculture, poverty, nutrition and cross-sectoral linkages are developed and made available to African partners.

This activity will complement activities under various agricultural IR's as well as a broader economic information effort undertaken under the economic growth strategic objective, and will focus in particular on linking food security, agricultural, income, poverty, and nutrition indicators, with those of other sectors, in order to discern food security, income, and health linkages.

**STRATEGIC
OBJECTIVE 4:**

**DEVELOP AND IMPLEMENT MORE AFFORDABLE AND MORE
EFFECTIVE MECHANISMS FOR PRODUCING, SHARING AND USING
DEVELOPMENT INFORMATION.**

BY THE YEAR 2003

- ! Twenty countries will have enabling policy environments, more effective communications hardware, and at least two private service providers
- ! In those countries, internet access costs will have declined by 75%, and the total number of internet users will exceed 118,000.
- ! AFR/SD will have supported the development of improved content in each of the four priority areas of basic communications, data-sharing, human resource development and policy networking.
- ! There will be at least a dozen active Africa-wide sectoral networks connected electronically.

DEVELOPMENT OPPORTUNITY

Increasing access to information has always been a fundamental element of the development process; assistance organizations have sought to expose developing country policy makers and practitioners to new or different approaches to solving problems, producing goods or educating their citizens. More recently, the pace of change in information and communication technologies has accelerated, leading to a revolutionary change in the information available to policy makers and practitioners in developing countries. The importance of this communications revolution is difficult to overstate. While it is difficult to predict with any certainty the evolution of information technology, there is no doubt that in the future information will be exponentially more available, more affordable and more easily obtainable. New opportunities will arise for using the new information technology as a mechanism for building partnerships between all types of organizations and institutions in the United States and counterpart organizations in Africa.

Since the utility of the Internet and other electronic networking facilities depends to a very great extent on the quality of the underlying telecommunication infrastructure, the poor quality of the network in most parts of Sub-Saharan Africa still remains the largest impediment to rapid development in this area. While many African countries are experiencing some extension and modernization of their telecommunication networks, teledensity continues to remain very low, most of the telecommunication network is analogue, many sections are highly unreliable, especially during rainy periods, and international links are very expensive.

However, there is a fairly high level of variability in the state of the existing telephone network

in the region, with countries like Botswana and South Africa at one end of the scale (having sophisticated fibre optic inter-city backbones and relatively high levels of penetration in the capitals) to Eritrea, Mali and Guinea-Conakry at the other end of the scale, with highly unreliable telephone systems and poor national links between urban centers. Although there are some important exceptions, governments for the most part see the telecoms sector as a very important part of their revenue base and the telecommunication parastatals are not free to re-invest their profits in network development. In addition to the relatively low level of connectivity, there exists a large deficit in availability of computers and related Information and Communications (IC) technology. Many countries maintain high tariffs on computers and other electronic equipment and impose other non-tariff barriers as well.

On the positive side, there is a growing awareness throughout Africa of the need to restructure the telecommunications sector, and substantial progress has recently been seen. For example, 1996 saw about \$500 million of foreign direct investment (FDI) into telcoms being privatized (versus \$1 billion of FDI in all sectors in a typical year). In addition to the financial injection, the buyers also committed to major increases in the number of available lines. And in spite of the poor general level of development of the telecommunication infrastructure, more than two-thirds of African countries have achieved some form of local store and forward e-mail service with dialup gateways to the Internet.

Although few institutions or their leaders see the value of information and communication technologies as a strategic tool and even fewer have established an environment that encourages the free flow of information among different levels of the institution, awareness is beginning to rise. This is particularly so in the private sector where new commercial relationships are being brokered courtesy of the Internet and business support groups are busy promoting the commercial interests of their members through better access to timely information.

Providing information, ideas and new ways of looking at problems has been both the challenge and the process undergirding the USAID development effort. Well before the arrival of the Internet, USAID and its host country partners used a variety of mechanisms to promote these information "partnerships", including long-term training, conferences and workshops, residential advisors, faxes, newsletters and the like. USAID played the role of "information broker".

The Internet and other emerging technologies collectively known as the Global Information Infrastructure (GII) hold great promise in the quest for more efficient information partnerships. The powerful information and communication tools of the Internet can effortlessly link those who want information with those who have it, eliminating the broker role traditionally played by development entities. Helping our development partners to obtain and master these new technologies will be a challenge worthy of USAID but it will in the end provide the key to empowerment for citizens of the developing world, regardless of their occupation or economic level.

STRATEGY (See figure 8)

Since 1995, AFR/SD has been implementing the Leland Initiative to provide expanded Internet connectivity to twenty targeted countries in Africa. This Initiative forms the core of SO 5.

IR 4.1 Increased use by development policy makers and practitioners of improved information and communication technology to promote sustainable development.

Constrained by state telephone monopolies, restrictive policies and outmoded equipment, development practitioners in Africa have little access to the emerging Information and Communication Technologies, and little incentive to establish organizational cultures that value the widespread and unfettered flow of information. AFR/SD seeks to address these barriers on four fronts:

IR 4.1.1 Create an enabling Policy Environment

In most Leland target countries, state-owned telephone monopolies have prevented private sector entry into the telecommunications market, rationed access to telecommunication services and maintained extremely high prices for local and international calls.

AFR/SD will work with the State department and USAID Missions to develop memoranda of understanding with target countries that will create a policy environment conducive to greater flows of affordable information. In particular, we will negotiate policy reforms that:

- ! Abandon traditional International telephone pricing for cost-based affordable tariffs;
- ! Allow free and open access to the information on the Internet; and,
- ! Set aside long-standing monopoly practices in favor of private sector Internet Service Providers (ISPs).

IR 4.1.2 Establish a sustainable supply of Internet and other GII Information and communication services.

Cost-effective and well-run national internet gateways, rational Internet nodes in secondary cities, and customer-oriented community information centers in rural areas are the keys to widespread availability of the Internet and other ICT services. AFR/SD will provide, as needed, hardware and training to expand access to the internet. Outmoded communications equipment will be replaced; potential private service providers will be trained in both the technical and managerial aspects of internet service provision. Where necessary, AFR/SD will support provision of "second-mile" infrastructure that allows internet access to extend beyond capital cities.

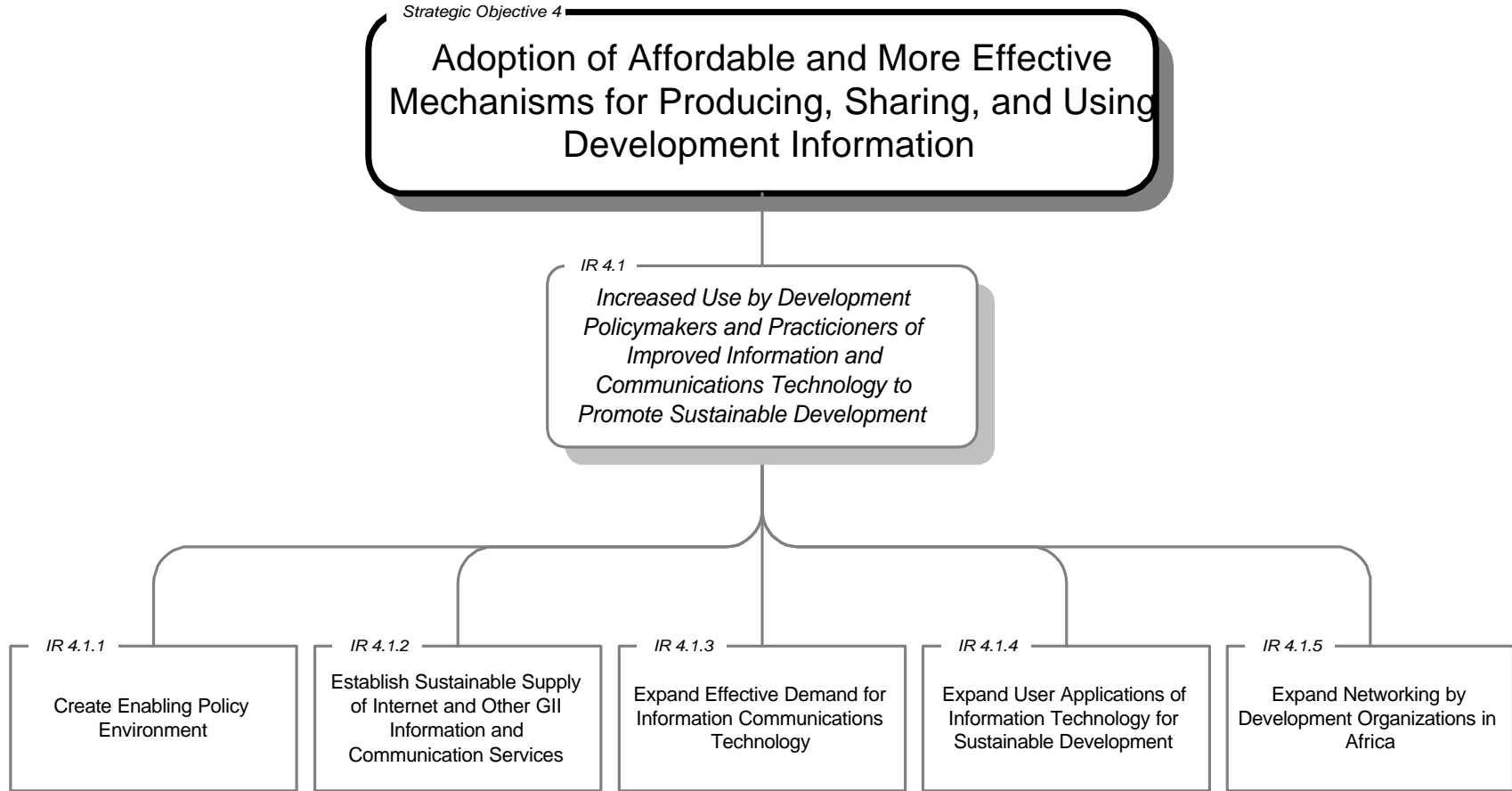


Figure 8

IR 4.1.3 Expand effective demand for information and communication technology.

Increasing the "**supply**" of connectivity is but the first step in taking advantage of the information revolution. A dynamic, competent "**demand**" is necessary to apply this connectivity to the challenges of sustainable development. Africans need and want the skills to use new technologies to achieve sustainable development. AFR/SD seeks to develop and disseminate the assessment tools and training approaches required to build a dynamic and growing user base. We will work with USAID Missions to help them help their customers and partners to (1) gain access to the internet, and (2) develop the capacity to make effective use of information available now and in the future on the world-wide web.

IR 4.1.4 Expand user applications of ICT for sustainable development.

Current applications of ICT for sustainable development are relatively limited and focus to a large extent on basic communication such as e-mail and related functions (eg- listserves) and relatively static information displays such as data bases on Web sites. Great strides are being taken in the United States and elsewhere to expand these uses to broader purposes and to make them more user friendly. AFR/SD will be "pushing the envelope" of potential applications in four areas - basic communications, data sharing (e.g., research data, market information, telemedicine and the like), human resources development (e.g., Internet-based training) and policy networking. In each of these areas it will explore the adaptation necessary to make the "content" more useful and the "institutional" strengthening necessary such that our development partners can utilize the new tools.

IR 4.2 Expand networking by development organizations in Africa.

For many years, AFR/SD has been working with our customers to develop Africa-wide networks in all of the sectors in which we have been working. In many cases we have provided assistance to link electronically the institutions and individuals who form the network. We will continue to support Africa-wide networks because they:

- ! are an effective way of sharing relevant information on best practices;
- ! build partnerships among African institutions, organizations and individuals who can seek joint solutions for shared problems;
- ! form an effective lobbying mechanism for improving government programs, policies and strategies.

We will be providing grants and technical assistance to strengthen these networks, help them move toward financial sustainability and improve their information sharing capabilities.

**STRATEGIC
OBJECTIVE 5:**

**PROGRESS ACCELERATED IN THE SPREAD OF STRATEGICALLY
VIALE AND ENVIRONMENTALLY SOUND ENVIRONMENTAL
MANAGEMENT SYSTEMS**

BY THE YEAR 2003

In all USAID environment programs there will be a gradual but increasingly widespread adoption of technologies and practices which increase incomes while improving the sustainability of the natural resource base.

All USAID Missions with environment or natural resource management programs will have strategies and programs which contain lessons from AFR/SD.

Ten countries develop or improve enabling policies based on interactions of AFR/SD with Missions and other donors.

DEVELOPMENT OPPORTUNITY

The past four decades have seen dramatic increases in Africa's population. Growing at a rate of 2.8% per year, population in Africa has been doubling every twenty-five years. While in some countries a substantial amount of unused land remains available, others are seeing increasing pressure on soils, water, woodlands and biodiversity. These environmental pressures also threaten incomes, particularly rural incomes.

The last decade has seen the emergence of policies and practices that will, over time, stem the tide of environmental degradation. Resource users can manage the natural resource base in a manner which is economically and ecologically sustainable. This can happen by putting in place a series of enabling conditions such as improved tenure and local empowerment, better institutions and building human capacity. There have been a number of local successes; there is a substantial amount of knowledge on what needs to be done to manage resources sustainably; many of the behavioral changes have already taken place. However, the diffusion of these behavioral changes is still not broad enough to achieve a "takeoff." Once there is in place the conditions necessary for the adoption of approaches which improve productivity while reducing environmental stress, so that the diffusion of these approaches are widespread, and sustainable, then a "takeoff" will occur in the use of such applications and approaches. Conditions now known to affect adoption include:

- ! changes in incentives to resource users
- ! changes in land and resource tenure
- ! empowerment of resource users
- ! redirection of public sector agencies from police to extension services

- ! effective Environment and Natural Resource (ENR) policies formulated and implemented
- ! Policy framework in place which links donors, government and NGOs
- ! Sustainable funding identified and in place for ENR activities
- ! Technologies and approaches available and disseminated

STRATEGY (See figure 9)

The Environment and Natural Resource Management (ENRM) Strategic Objective is designed to lead, with our partners, in the sustained takeoff of the use of environmentally sound practices and approaches related to the use of natural resources. In the long-run, sustainable economic growth depends on sound environmental and natural resource management practices which increase productivity and decrease degradation. Links are also made to SOs in agriculture and population. ENRM helps Missions and others to establish those enabling conditions which are demonstrated in Africa to affect the adoption of NRM practices.

The overall approach of SO5 is to put in place those conditions believed to affect the adoption of approaches which increase productivity while reducing environmental stress, so that the diffusion of these approaches are widespread and sustainable; and that the countries with such conditions in place achieve a level of "takeoff" in the use of such applications and approaches.

Through this SO, AFR/SD affects policies, programs and strategies so as to accelerate the takeoff of environmental and natural resource approaches within USAID Missions in the Africa Region. We also evaluate whether the overall program choices of USAID most effectively address significant problems, and are directed towards issues which affect significant numbers of Africans and the African environment. An emphasis is given to cases where environmental quality and natural resource management are directly linked to income, and overall economic growth.

IR 5.1 Develop, improve and promote cost-effective approaches

This IR promotes the development and testing of resource management approaches, and the transfer of such information between users and partners throughout the continent. Such information includes the identification of the enabling conditions, including policies, incentives and regulations, which affect adoption of approaches. We will continue to focus in the following sectoral areas and geographic regions:

IR 5.1.1 Biodiversity Conservation: We will work with our partners in the Global Bureau's Biodiversity Support program and World Resource Institute's Policy Consultative Group, as well as partner SO's in Madagascar, Botswana, Tanzania, Zimbabwe, Malawi and Uganda, to draw lessons learned in Community Based Natural Resource Management (CBNRM), particularly related to biodiversity. We will evaluate the effectiveness of CBNRM in addressing Agency and Bureau objectives and transfer lessons learned to others.

Accelerate Progress in the Spread of Strategically Viable and Environmentally Sound Environmental Management Systems

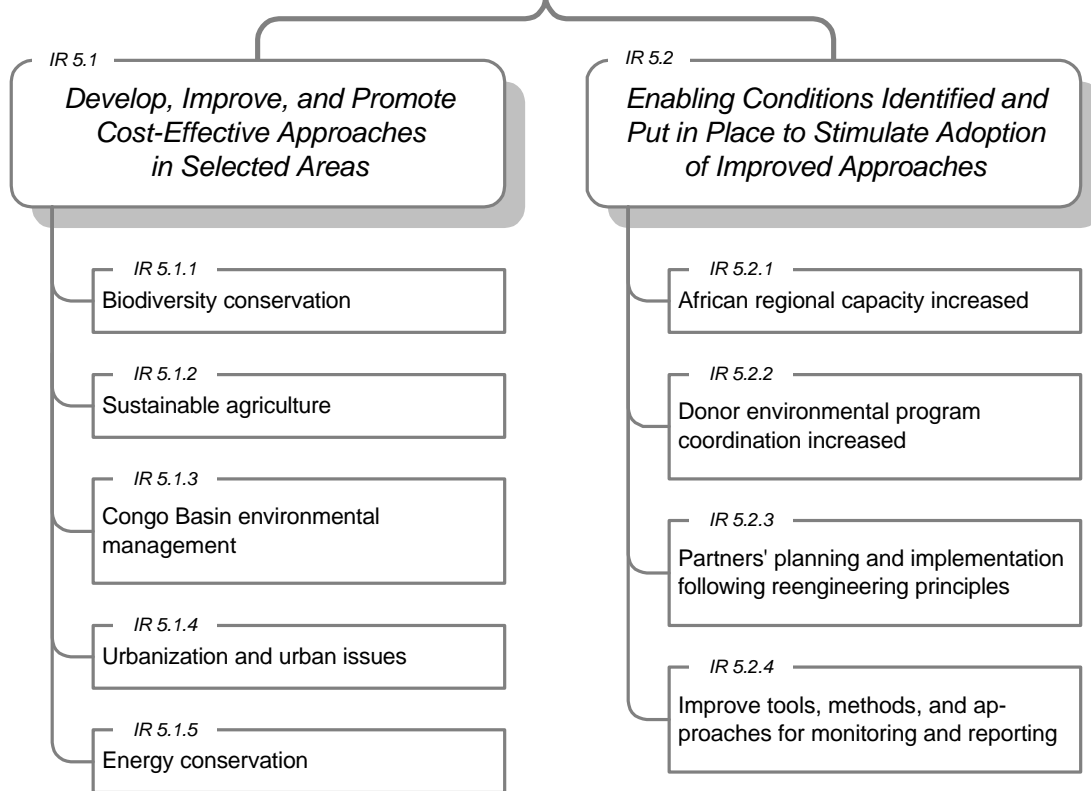


Figure 9

IR 5.1.2 Sustainable agriculture: AFR/SD will continue to champion the expansion of natural resource management (NRM) programs to include environmentally sustainable agriculture, as initially found throughout the USAID Sahelian missions. This includes supporting analytic and technical work by World Conservation Union (IUCN) internationally and in their African regional programs, as well as lead partners such as Implementing Policy Change and the Policy Consultative Group. A key component of this IR will be to expand the NEXUS effort, such as the coordinated approach adopted by the Madagascar mission, which identifies the dynamic linkages between agriculture and the environment.

5.1.3 Congo Basin: In this Agency priority zone for conservation of biodiversity and mitigation of global climate change, we will lead in an effort to establish the enabling conditions for wise use of the natural resources and to identify and test conservation practices. Efforts will be in concert with national and international conservation organizations such as the World Wildlife Fund and Wildlife Conservation Society; with other federal agencies as the Forest Service, National Aeronautics and Space Agency and Peace Corps; and with other bilateral and multilateral donors including the World Bank, the Global Environmental Facility and the European Union.

In addition, AFR/SD will evaluate whether other sectoral issues or geographic regions should be emphasized, both by SD and more importantly as a priority for overall Bureau support. During the time frame of the SO new areas to be explored include:

IR 5.1.4 Urbanization and urban issues: As a new sectoral area, AFR/SD will conduct an assessment of urbanization and urban issues and the implications of these issues for ENRM activities and development in Africa. AFR/SD will also evaluate the potential for programs to support innovation related to urbanization. Over the planning period, work will be conducted with our partners -- both within and outside AFR -- involved with programs active in urbanization, to develop a cross-cutting, multisectoral approach and strategy for addressing urbanization and urban issues in the Africa Region.

IR 5.1.5 Energy conservation: In close cooperation with G/ENV, AFR will develop a plan for addressing energy/environment issues and expect to have initiated a series of interventions at identifying best practices and sustainable approaches over the course of the planning period.

IR 5.2 Enabling conditions identified and put in place to stimulate approach adoption:

Once approaches are identified and promoted, the other major IR is to assist our partners in ensuring that some of the enabling conditions required for accelerated adoption are established. Most notably these include areas related to improved donor coordination, improved capacity for groups able to play important regional roles, and development of improved analytic, monitoring and planning methodologies.

IR 5.2.1 African regional capacity improved: Under this sub-IR, AFR supports the development of capacity regionally to carry out environmental assessments, planning and analysis. As part of this effort we will continue to support training programs which improve the capacity of PVOs and NGOs to consider environmental issues in their work. In addition, the

strengthening of the Network on the Environment and Sustainable Development in Africa (NESDA) will enable it to achieve more direct impacts with its partners, who include the heads of National Environmental Action Plans (NEAPs).

IR 5.2.2 Donor environmental Program coordination improved: The SO will continue to have substantial impact on other donor efforts, through such interventions as the Multi-Donor Secretariat (MDS) attached to the World Bank, which has significantly improved the quality of World Bank environmental planning programs. Emphasis of the MDS on Africanization of the planning efforts of donors has substantially improved the planning capacity in the region. Supplemented by NESDA, this will significantly improve the ability of Africans to put in place appropriate policy frameworks. In addition, USAID's own programs will be strengthened through the work of WRI's Policy Consultative Group.

IR 5.2.3 Partners planning follow reengineering principles: The SO will directly improve the implementation of all major environmental SOs by assisting them to follow through with reengineering principles, especially those affecting teamwork and participation of partners and customers.

IR 5.2.4 Tools methods and approaches for monitoring and reporting improved: Previous results in developing performance measurement and analytic systems will be further expanded into the work of major SO teams and key partners. The SO will evaluate the effectiveness of funds being allocated to existing environmental priorities and to identify the best options for accelerating adoption of improved management approaches. We will also develop the analytics and methodology needed to permit USAID and its partners to evaluate whether existing environmental funding is targeted to the more important environmental issues affecting the largest number of Africans.

**STRATEGIC
OBJECTIVE 6:**

**ADOPTION OF POLICIES, STRATEGIES, APPROACHES AND
METHODS FOR INCREASED SUSTAINABILITY, EFFICIENCY AND
EQUITY IN THE PROVISION OF BASIC EDUCATION SERVICES.**

BY THE YEAR 2003

At the end of the planning period, we expect:

- * Nine countries to put in place the policies, programs, strategies and resources required to transform a biased, ineffective and inefficient education system into one that is able to provide quality primary education to the majority of its children
- * USAID and funding agencies will have adopted the approaches, methods and tools (promoted by SD) to improve basic education services
- * An active and effective network of stakeholders in African education (including African governments, regional institutions, funding agencies and other key player) will act in partnership to improve basic education
- * An evolving understanding of the dimensions and dynamics of education sector reform and how to ensure it results in effective schools

DEVELOPMENT OPPORTUNITY

Education is key to improving a country's stock of human capital--an essential ingredient of economic growth and social development. Strong empirical evidence from Africa and developing countries around the world links education to a broad range of benefits--in economic terms of increased productivity and higher individual and national incomes, and in social terms of lower fertility and improved health. The greatest return on educational investment in terms of productivity is in primary, rather than higher, education; in basic education, rather than specialized education (e.g. vocational); and in girls' education. Education must be broad-based and not confined to the elite minority; much of the Asian economic "miracle" is attributed to the existence of a largely educated workforce. The social rate of return for primary education in Africa is 27%; farmers having completed four years of basic education produce 8% more than farmers who have none; and one year of a mother's education is associated with a 9% decrease in under-five mortality.

In sub-Saharan Africa, half of the primary school-aged population are not enrolled in school.

Of the children who are, fewer than fifty percent of those entering first grade will complete the primary school cycle. Many of these primary school graduates--as well as their less fortunate schoolmates who drop-out along the way--will not have acquired the minimal levels of literacy and numeracy to allow them to either progress to higher levels of education or to benefit from their families' investment in their schooling. A disproportionate number of out-of-school children, non-completers and illiterates are girls and children from rural areas. These problems are due to low access to, and availability of, school places, poor quality instruction, and little recognition of female and rural students' needs.

In many countries, education systems are inadequate to provide the amount or quality of education to meet the needs of their population (and economic/social development requirements) and national capacity is insufficient to foster their growth and reform. Specifically, educational development is constrained by:

- ! a lack of resources that impedes national efforts to fund improvements in the education system and services;
- ! national policies that cause inequitable and inefficient allocation of resources;
- ! inadequate or inappropriate provision of education services, such as teachers, curriculum, instructional materials, and management/support systems; and
- ! low household demand for the schooling offered.

The opportunities for resuscitating/catalyzing education development are also in place:

- ! economic reforms adopted by many countries have either resulted in or promise increased economic growth to provide more public and private revenues for education;
- ! many countries are starting, or have embarked, on educational reforms efforts to restructure their education systems and reallocate resources;
- ! there is a general acceptance that primary education and wide access to quality is paramount if national development is to proceed.

STRATEGY (See figure 10)

Since 1989, the Africa Bureau has sought to expand access to primary schooling, especially for girls and rural children; assure a fundamental standard of quality in basic education services; improve the efficiency in the delivery of educational services; and increase national capacity to plan for, manage and sustain reformed education systems. The "education sector support" approach pioneered by the Africa Bureau (with SD input) redefined how to bring about sustainable education sector development--by working through national systems, supporting broad policy and structural changes in the education system, requiring resource reallocations, improving institutional capacity, and promoting public-private sector partnership.

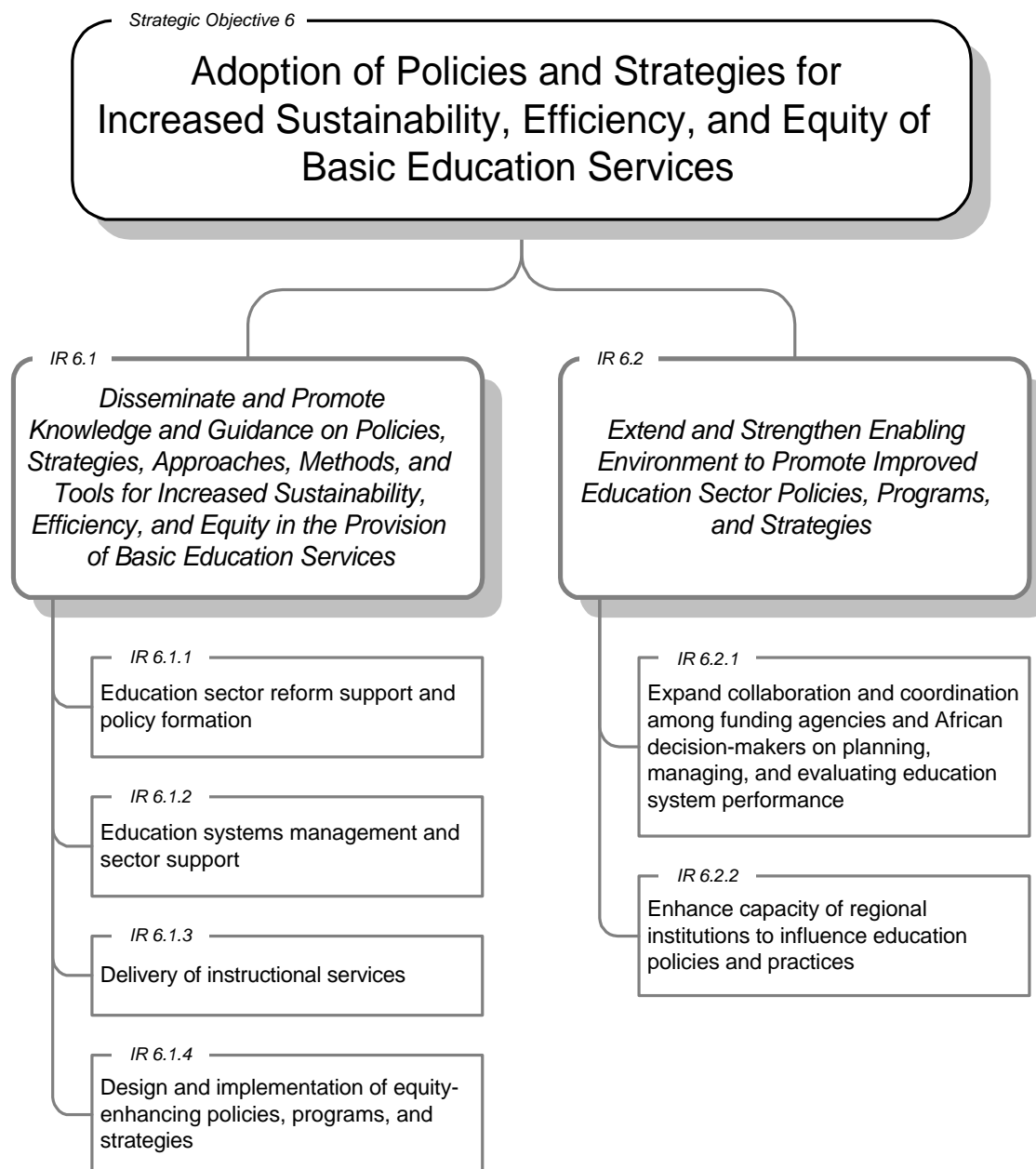


Figure 10

USAID education sector support (ESS) programs have demonstrated impressive results, particularly in increased access and equity, and have catalyzed national reform efforts in several countries. SD has contributed significantly to their success, by providing insight, guidance and technical expertise in design, management and evaluation to countries, the Africa Bureau and its field missions, and other funding and support agencies. However, progress can be further advanced by a deeper understanding of both the content and process of educational reform by countries and funding agencies, use/mastery by funding agencies of approaches and methods to leverage change and enhance sustainability, and greater coordination and cooperation among funding agencies, African governments and regional institutions.

SD will continue to play a critical role in identifying and analyzing the diverse dimensions and dynamics of education reform, and in operationalizing the lessons learned from the Africa Bureau's and other's experience in supporting or implementing education reform in Africa. Its analysis, research and resulting guidance on education policy (optimal resource levels, access-with-quality, health-education), strategies ("integrated" girls' education, policy formation, decentralization), approaches (ESS, policy dialogue) and methods/tools (Fundamental Quality Levels (FQL) framework, conditionality use, impact measure, databases) will improve country, USAID and other funding agencies practice so that investment in education in Africa optimizes sustainable reform and improvement. In conjunction with its provision of strategic technical support to countries and missions in Africa and active support and participation in networks and fora which unite donors and Africans, SD's contributions to the expanded knowledge base and practical guidance will affect change in the thinking, procedures and practices of its clients and will lead to the use of developmentally sound approaches by USAID, other funding agencies and ultimately to African and education systems.

The policies, strategies, approaches and methods developed and promoted by SD aimed at informing, advancing, strengthening and deepening national education reform efforts in Africa will be adopted by the principal actors involved in the sector--African governments and organizations, USAID and other funding agencies--in order that African nations are better able to plan, manage and sustain their education systems so that quality basic education is available to a greater percentage of their school-aged children.

IR 6.1 Disseminate and promote state-of-the-art knowledge and guidance (i.e. approaches, tools and methods) on policies, strategies, approaches, and methods for increased sustainability, efficiency and equity in the provision of basic education services.

A key aspect of SD work in education is to improve practice to optimize support of education reform. By promoting and disseminating knowledge and guidance on how to best further educational development and how to better conduct many of the tasks associated with providing assistance to countries (eg. impact measurement, policy and strategy development, etc.) SD is able to influence the thinking, procedures and practices of Africans and funding agencies.

As part of its ongoing dialogue with clients and partners, SD has identified areas where further

substantive research, analysis and investigation is required. For example, how do policy reforms get introduced and assimilated (or not) within the school? what have been the real results of incentive programs intended to stimulate educational demand? how does decentralization take place? These types of issues--once answered--will inform the policies and strategies USAID, other funding agencies, and African countries use to support education reform in Africa. SD will focus its analysis, research, strategic technical support and coordination activities around four broad "lines of inquiry". The key results correspond to these lines of inquiry. They are:

IR 6.1.1 Develop and expand knowledge base and guidance on education sector reform and policy formation.

In this IR, SD will deepen the understanding of both the content and the process of education reform, by identifying the critical policy elements and examining how reform efforts are formulated, developed and implemented. Consultations with SD's clients have revealed a demand and need for a conceptual framework and process for decision-making on key issues (such as decentralization, community schooling, etc.) and better information use. A broadly defined stakeholder base and its active participation in the process of policy formation is a relatively new concept in many countries; provision for greater involvement and the mechanisms for facilitating it require further investigation and analysis. The USAID-pioneered ESS approach is predicated on seeing the education system as an inter-connected whole, rather than treating it as separate components which donor-sponsored projects can target in isolation. A better appreciation of the linkages among the components of an education system, the levels of implementation and the loci of decision-making is needed. For example, determining how policy reaches (or is frustrated from reaching) its goal of changing classroom practices and student-teacher behavior can inform the content of policy, how it is implemented and how it is presented.

IR 6.1.2 Develop and expand knowledge base and guidance of education systems management and sector support.

The purpose of this IR is to improve the effectiveness of management (by countries) and support (by funding agencies, particularly USAID) of education reform programs. Many countries have asked for assistance on how to manage an education reform, what particular procedures and structures should be put in place, and how to ensure and monitor that new policies are acted upon. SD continues to develop a planning and information framework and process, Fundamental Quality Levels (FQL), which has been adapted by several countries as a means of determining resource allocation and tracking reform progress. The introduction of a new approach to education development, coupled with reengineering, has required that USAID and its Missions master new roles and modalities, ranging from program design and conditionality use to impact assessment and reporting. SD will continue to prepare guidance on these and other similar issues.

IR 6.1.3 Develop and expand knowledge base and guidance on delivery of instructional services.

The 1980's trend of declining enrollment ratios has in many African countries reversed itself,

but the issue of educational quality has emerged as a priority, if development goals of literacy and numeracy are to be met. The delivery of effective instructional services will depend on the quality and motivation of the teachers, the curricular content, the availability of instructional materials, the school environment and the support of parents and the community. African educators, planners and researchers will need the skills, methodologies and data for assessing student performance and the effectiveness of the education system's quality inputs. Better systems, methods and practices for student performance should be developed and linkages to policies and decision-making process articulated. Moreover, student performance and school effectiveness are influenced by external factors and the environment outside the classroom. Interventions within the education system can address some of the pressing problems confronting African families and children today. SD will work to reinforce the awareness of the education-health and education-environment linkages and to support treatment of these issues (eg. sexual behavior and STD's, HIV/AIDS, conservation) by African educators.

IR 6.1.4 Develop and expand knowledge base and guidance on the design and implementation of equity-enhancing policies, programs and strategies.

A largely literate and numerate population is a key factor in development. This requires that a majority of a nation's children have access to primary schooling where they can acquire these skills. But large percentages of these children have been ignored by African education systems--girls, poor children, and children from rural areas and ethnic minorities. SD will focus on developing information to assist strategy and program development to make primary schooling more accessible, attractive and appropriate for these marginalized groups and on crafting effective strategies for promoting their educational participation. For example, SD will consider the efficacy of selected strategies and interventions (eg. incentive programs), identify the policy considerations and trade-offs, and develop guidance on recommended approaches and practices.

IR 6.2 Extend and strengthen enabling environment to promote improved education sector policies, programs and strategies.

Too often attention is exclusively focused on the interaction between the individual donor and the recipient country, with little recognition that the environment in which educational development takes place is a larger one and can be made more supportive of the development process. An enabling environment and conditions required for "self-help" and adoption of appropriate policies and strategies should be put in place. These include better coordination and cooperation between donors and African nations, accessible fora for information exchange, and the improved capacity of regional institutions to consolidate African experience and influence education policies and practices.

IR 6.2.1 Improve collaboration and coordination among funding agencies and African decision-makers on planning, managing and evaluating education system development and reform.

It is clear that most new approaches to education reform are predicated on the idea of "partnership"--between and among funding agencies, African nations and African

stakeholders. Funding agencies must act in concert to ensure that support is complementary and that sufficient resources are available to cover the short-term transition costs of reform. Donors must be willing to let Africans chart the course of education development in their countries, while African governments and institutions need a better understanding of funding agency agendas and operations. And African nations should be able to benefit from the expertise and experience of neighboring nations which share many of the same problems and can learn from the solutions. Circulation of new information, the exchange of ideas, and the opportunity to reach consensus or air disagreements is an important aspect of an enabling environment. SD has played a key role in the development and growth of a ground-breaking institution, the Association for the Development of Education in Africa (ADEA, formerly known as DAE) which provides a structure and network for north-south, south-south and north-north cooperation and collaboration. SD will continue to actively support and participate in ADEA and provide direction and assistance to select working groups, with the greatest potential to inform and influence policy and practice in African education.

IR 6.2.2 Enhance capacity of regional institutions to influence education policies and practices.

Regional institutions can maximize scarce education research resources, bring a uniquely African perspective to the table, and provide a comparative analysis of countries, problems, and solutions across the region. Further, they can serve as experts and advocates of education reform. SD contributes significantly to the development of regional institutions, directed and managed by Africans (such as the Forum of African Women Educators) or with major African involvement (ADEA and its Working Groups, National Council for Negro Women). These institutions share a major purpose: to unite, foster and utilize African educationalists' capacity and insight in research and analysis on key education issues in Africa and provide practical guidance to African and funding agency clients on implementing and supporting education reform in Africa. SD's aim is to enable these institutions to become viable sources of expertise and technical assistance, by providing assistance on research methodology and issues, institution building and operations, and advocacy techniques so that they develop an active client base and the professional prestige to influence education policy and practice in Africa.

**STRATEGIC
OBJECTIVE 7:**

**ADOPTION OF POLICIES AND STRATEGIES FOR INCREASED
SUSTAINABILITY, QUALITY, EFFICIENCY, AND EQUITY OF HEALTH
SERVICES**

BY THE YEAR 2003

- !** **Quality of health services will improve** with a focus on key strategies that will improve health provider performance. There will be strengthened policies, strategies, and approaches for improving care of emergency obstetric complications in six countries. As one target, we expect that 24 countries will have tested and adopted a national Integrated Management of Childhood Illnesses (IMCI) strategy, including both training of health workers in improved case management as well as components of supervision, pharmaceutical, and service organization improvements;
- !** Monitoring and evaluation of health programs and utilization of lessons learned for **increasing quality of care** will improve with a focus on malaria, immunization, nutrition and IMCI. As one target, we expect that 44 countries will have incorporated monitoring and evaluation plans, with recommended USAID/WHO/AFRO indicators, into their national malaria strategies;
- !** **Sustainability of health services will increase** with an emphasis on increased African capacity for planning and management, innovative country financing strategies, improved donor coordination and increased country ownership, particularly for those interventions that had been heavily donor-financed. We expect that 46 countries will have national plans for immunization with annual budgets and approved by an Inter-Agency Coordinating Committee (ICC);
- !** At least 12 country-specific innovative strategies will be adopted for **increasing health system efficiencies**, including hospital autonomy, reallocation of public funds for preventive care, upgrading health personnel, etc.
- !** At least 12 country-specific approaches will be adopted, such as means-testing or targeting mechanisms to **increase equity** of access to health services.

DEVELOPMENT OPPORTUNITY

The 1993 pan-African Conference on Africa's Progress on Child Survival in Senegal brought together five hundred Africans and international experts to discuss Africa's 10 year performance in reducing childhood morbidity and mortality. Two major recommendations were clearly heard by all who attended: if the gains made in child survival since 1984 were to be maintained and increased into the 21st century, attention had to be paid to **sustainability of**

health services and to **quality of care**. In 1993, after a decade of significant progress, Africa was beginning to see declines in immunization coverage and oral rehydration therapy use rates, major indicators of health sector performance. AFR/SD carefully studied this situation as it related to declines in immunization coverage. Our analysis concluded that immunization strategies had not taken into consideration host country financing or systems strengthening, that donor funding was shrinking, particularly in West Africa, and Ministry of Health budgets were significantly reduced. These factors across the health sector were leading to serious reductions in pharmaceutical availability at health centers, disruptions in health worker salaries, lack of fuel for supervision, overall poor quality of services -- resulting in low health service utilization and coverage.

Sustainability and quality of care are intimately linked. Without effective strategies to mobilize resources and increase efficiencies of health services in Africa, services will continue to deteriorate and on the other hand, without improvements in quality of services, utilization of services would continue to be low, ultimately affecting health outcomes as well as revenues generated at the local level.

In addition, AFR/SD has identified a number of areas of "special importance" to child and maternal health because of their overall contribution to child and maternal mortality and the lack of attention or misdirection that they have received in the last decade. These areas include nutrition, malaria, vaccine-preventable diseases and care of emergency obstetric complications.

STRATEGY (see Figure 11)

AFR/SD intends to be the lead voice in ensuring that sustainability and quality of care issues are on the agenda and incorporated into all strategies and approaches to addressing health problems in Africa. AFR/SD will also ensure that appropriate approaches and strategies are developed and adopted to effectively address malnutrition, malaria, vaccine-preventable diseases and care of emergency obstetric complications -- as the leading causes of child and maternal mortality on the continent.

AFR/SD's role is not to implement programs or even to provide technical assistance but in collaboration with the Global Bureau and the REDSOs, provide a vision for USAID investments in these areas, support research and analysis that enhances understanding of constraints and solutions, support the development of regional approaches and strategies with our African and other donor partners, and promote the adoption of these approaches at the country level.

In order to address these problems in a systematic way, AFR/SD has provided forums for Africans and international experts to identify first and foremost the constraints, information gaps, research and analytical needs for developing effective approaches and strategies. Strategic frameworks for research, analysis and dissemination have been prepared for Health Sector Financing and Sustainability, Private Health Sector Development, Malaria, Nutrition, Integrated Management of Childhood Illness, Safe

Motherhood and Reproductive Health. These frameworks will continue to provide the basis for our research and analysis and will be updated throughout the six years.

IR 7.1 Promote improved policies and strategies for innovative health financing and organizational reform.

Public sector and donor involvement is required in the development of improved policies, programs and strategies in health care financing and organizational reform to ensure the expansion, effectiveness, equitable distribution and sustainability of health services for at least two reasons. First, unlike the market for most goods and services, the health sector is beset by a number of “market failures,” i.e., the actions of producers and consumers alone will not produce socially optimal or economically efficient results. Second, poverty alleviation, which is a major economic development objective, can be promoted very effectively through improvements in health since one of the most effective ways to reduce poverty is to increase the human capital of the poor by increasing their access to basic health care, education, and nutrition.

For most African states health has been a low priority for most of the first three decades after independence. Public expenditures on health during that period averaged below 5% of national budgets. In some unfortunate cases the rate declined to lower levels as economic performance deteriorated following the oil crisis of the mid-seventies and the worldwide recession of the early eighties. Donor assistance filled the gap in expenditures particularly in the areas of primary health care, emerging and endemic diseases control, and family planning and population services.

Organizational changes in African health systems are increasing at a rapid pace, particularly with respect to decentralization, public-private sector role redefinition, changing nature of the central ministry of health and of lower levels of the public system, and the integration of a variety of vertical health programs. Each of these changes has a significant bearing on the delivery of quality child survival, population, and other health programs, as well as on the sustainability potential for these programs.

IR 7.1.1 Develop innovative financing strategies.

Health care financing meetings in Dakar, Kenya and Zimbabwe identified issues of equity, resource mobilization and hospital autonomy as the most critical areas to increasing financial sustainability in the health sector. Africans asked for more information on best practices within Africa and in other regions; they wanted reader-friendly information to share with their decision-makers as well as tools and guidelines for implementing, monitoring and evaluating alternative resource-mobilization and hospital-autonomy strategies. AFR/SD and the Global Bureau are just completing case studies which are providing information that was requested at these meetings. During the next six years AFR/SD will continue to work with REDSOs and the Global Bureau to disseminate lessons learned and best practices, to monitor and synthesize new experiences in the regions, to develop practical tools and guidelines and to work with our partners to promote consensus on approaches such as national health accounts and innovative health care financing strategies.

IR 7.1.2 Develop strategies to increase health system efficiency.

A recurrent theme voiced by Africans and donors at meetings sponsored by AFR/SD has been the need to find ways to improve the allocative and technical efficiency of health care systems. Increased attention is being given to the large share of limited public funds allocated for health that is directed to curative services in urban areas. In most instances, referral hospitals alone, often not more than two or three in number, account for well over 50% of the Ministry of Health's budget. The successes of structural adjustment, donor insistence on reforms in the allocation of public resources, and improvements in governance are changing this situation slowly. At the same time, public financing for priority public health services still remains significantly below amounts required. AFR/SD will continue to work to identify strategies to assist countries better allocate their scarce resources in favor of priority public health programs and to mobilize additional resources for expansion of health services by increasing levels of public and private resources allocated in the health sector. Similarly, African countries and AFR/SD are paying increasing attention to technical efficiency issues, or ways to improve the output of services in relation to the inputs. Over the next six years, AFR/SD will work to increase knowledge and to develop tools to increase the rational use of services in selected areas, and will work in areas such as private sector development and quality of care (described under the other IRs in this SO) which are critical to increasing efficiency.

IR 7.1.3 Develop appropriate targeting, subsidies, and means-testing mechanisms and strategies.

Inequities in the allocation and utilization of health services in Africa are common. Not only are public resources financing mostly urban-based curative services, but the systems of exemptions and waivers in place almost always favor the economically advantaged, such as members of the armed forces and the civil service. In some of the middle to upper income countries in the region there is yet a subtler subsidy afforded the relatively well-to-do. For instance, those covered by insurance and employer-financed schemes almost always pay below the economic cost of care at public facilities. Increased application of targeting, subsidies, and means-testing mechanisms will ensure more equitable distribution of services. AFR/SD and the Global Bureau have just completed a series of country case studies looking at ways of increasing equity in the health sector using strategies such as means-testing, and subsequently developed implementation guidelines for means-testing. AFR/SD will develop and disseminate tools to help countries to apply improved targeting, subsidy and waiver policies and to develop programs that will facilitate access by poor and vulnerable populations.

IR 7.1.4 Develop strategies for increased public/private sector partnerships.

There is strong consensus that in order to increase efficiencies and coverage in the health sector, the private sector must be expanded and included in all strategies. Meetings in Kenya, Zambia and in Washington on the private sector identified a serious lack of information in most countries about the size, scope and distribution of the private sector, commitment of the government to work with the private sector, and the need to create enabling environments (without restrictive regulations). AFR/SD has developed a tool to document the characteristics of the private sector and will disseminate this tool widely, document lessons learned about

public/private partnerships across the region and continue to promote the inclusion of public/private partnerships as part of USAID bilateral programs.

IR 7.1.5 Develop state-of-the-art knowledge and best practices for decentralizing health care systems.

Since 1993 many countries have been embarking on health reforms to address some health care financing issues and structural problems within the health sector. As part of these reforms, decentralization is sweeping through Africa and is creating new opportunities and problems for addressing sustainability and quality of care issues as local administrative and governmental structures assume more responsibility and authority for delivering health services. To better understand these issues AFR/SD contributed to the first review of decentralization in Africa with WHO/Geneva. We will continue to document best practices and problems and, in collaboration with our African and other donor partners, develop approaches that will help countries better manage and implement decentralization so as to support both sustainability objectives and improvements in quality of care.

IR 7.2 Promote improved policies, strategies and approaches for child survival and maternal health.

IR 7.2.1 Develop improved policies and strategies for areas of special importance (e.g., expanded program of immunization (EPI), nutrition, malaria, integrated management of childhood illnesses (IMCI)).

In the areas of special importance: malaria, nutrition, vaccine preventable diseases, and IMCI, AFR/SD will continue its process of identifying the magnitude and severity of the problem, getting the problem on the Agency's agenda, developing a USAID strategy/position, identifying partners, developing a regional Africa strategy, building consensus, supporting capacity building at the regional level, and helping to adapt strategies at the country level.

For malaria, most of these steps have been completed with the launching of the Africa Integrated Malaria Initiative (AIMI) and the approval of the Africa Malaria strategy in 1996. AFR/SD will continue its support for adapting the African Integrated Malaria Initiative in three countries. Results of these activities will lead to regional guidelines on design and implementation of effective malaria control programs. AFR/SD will continue support for developing African capacity to design, manage, monitor and evaluate malaria control programs through WHO/AFRO. In the area of immunization, most steps have also been completed with the completion of the Africa Regional Five Year Plan for EPI by WHO/AFRO and the development of a strong regional coordination group, the Africa Task Force on Immunization. AFR/SD will continue its support to WHO/AFRO and UNICEF to increase African capacity to plan, manage, implement, monitor and evaluate effective and sustainable immunization strategies. In both areas, AFR/SD will continue to play a major role in donor coordination and mobilization of other partner and country resources.

Nutrition is associated with over 50% of all childhood deaths in Africa and contributes significantly to maternal morbidity and mortality. Nutrition and food security are high priorities of AFR and AFR/SD will develop a vision for the Agency for investments in Africa, complete the

development of a strategy with the Global Bureau and REDSOs, and working with African and other donor-partners, test and develop consensus on approaches as well as support regional capacity-building.

IR 7.2.2 Develop effective approaches for increasing health care provider performance.

Facility-based assessments and other studies indicate that misdiagnosis, missed opportunities and improper treatment and counseling practices are evident from West to East Africa. Integrated Management of Childhood Illnesses has been introduced by WHO/AFRO to address some of these problems. This approach has been focused more on training and not on the other key components of the health system that are needed to improve quality such as pharmaceutical, management, logistics and supervision. AFR/SD will continue to work with WHO/AFRO to develop an African approach to IMCI which will include these other components. We believe that IMCI can be used as an entry point to improve provider performance. As in the case of immunization and malaria, AFR/SD will support the development of a regional strategy, development of capacity in the region to adapt this strategy to country needs and capacities, and support monitoring and evaluation of the effort.

With the REDSOs, AFR/SD will be identifying other types of interventions and approaches that can improve quality of care. Based on a regional conference in Kenya in May, the African Bureau will develop a vision for USAID investments and a plan of action to solicit USAID Missions and other donor attention and support. AFR/SD will continue to develop and support regional approaches with African organizations like *Centre d'Etudes Supérieur en Administration et Gestion* to increase African capacity to plan and manage health services.

IR 7.2.3 Develop effective approaches to improving child health care in the home and community.

AFR/SD-funded research with WHO/Geneva and BASICS has identified the importance of understanding health-seeking behavior in the African context. Studies indicate that children are not taken to health services until they are seriously ill, that in many countries less than half the population has access to the health system and that treatment is sought from traditional healers and pharmacists before care is sought at the health center. AFR/SD will include as a new component of its strategy a focus on understanding and promoting effective strategies for improving home management of child health. To address existing constraints, AFR/SD will develop approaches and tools to help countries learn about existing health-seeking behaviors, develop approaches and tools to influence household behaviors and practices and provide support for monitoring and evaluation of information, education and communication activities. AFR/SD will promote the use of this information in developing strategies within bilateral and country health programs.

IR 7.2.4 Develop practical guidelines for improved care of emergency obstetric complications.

Approximately 75% of maternal deaths are directly due to obstetric complications and therefore contribute substantially to the excessive maternal mortality in the region. These deaths can be prevented with timely obstetric care. AFR/SD will help place this issue on the Agency's and Africa's agenda. We will support research and analysis particularly by African institutions and networks on how to improve the quality of services and access to services, document and disseminate information on best practices and new approaches more suitable for Africa, including community responses, and build consensus within the Agency and among African and donor partners on strategies for the region.

IR 7.3 Improve enabling environment to design, manage, and evaluate health programs.

The intended results of this SO are to ensure the adoption of policies and strategies to increase the sustainability, efficiency, equity and quality of health services. Yet, we all recognize that it is not sufficient to simply produce the policies and expect changes to take place at the country level or within USAID. We must ensure that the enabling conditions required for adoption of the policies and strategies are in place. These include improved human resource capacity to plan, develop, implement and evaluate reforms, improved capacity for a variety of groups in society to advocate on behalf of the policies and strategies, and improved donor coordination to reduce duplication and enhance the effectiveness of assistance.

IR 7.3.1 Strengthen African regional and national capacity to plan, manage and implement health programs.

Success in developing and adopting sound policies and strategies is predicated upon the availability of trained individuals and responsive institutions to analyze, craft, implement and evaluate reform-oriented policies and strategies. This requires that national and regional capacity for policy analysis, evaluation, management, and implementation of appropriate organizational and finance reform strategies be built. AFR/SD will assist relevant institutions of regional importance to develop the sustainable capacity to assess policy options, manage programs and policy implementation, and evaluate system performance. Improving countries' ability to manage important reforms such as "decentralization" will enable them to better plan and implement health care services in a more rational, efficient and effective manner. Strengthened public health sector institutions are the cornerstone in the further evolution of sustainable health systems in African countries. AFR/SD activities will include technical support to relevant institutions, collaborative work, and partnering and technical support for research and analysis of policy issues.

IR 7.3.2 Develop innovative advocacy strategies to increase African support for health reforms.

Underpinning the AFR/SD objective of adopting health service policies and programs is the critical need to develop and promote policy change. In order to do so, AFR/SD recognizes that

advocacy is required within countries to increase the likelihood that the policies and strategies are adopted. Advocacy is defined as those strategies and activities aimed at influencing decision-making and increasing dialogue over a given policy issue. A variety of groups are affected ranging from the media, trade unions, professional associations, community groups, to bureaucratic interest groups within Ministries. A related issue is the need for USAID and African countries to better understand the dynamics and processes associated with decision-making in African countries. This will allow all actors to become more effective in knowing when and how to intervene, as well as to increase the prospects for democratization. Activities under this IR will aim to develop strategies which Africans and USAID can use to increase their ability to create a better environment for the consideration, development, and adoption of health reform policies.

IR 7.3.3 Improve sector-wide donor assistance.

In Africa today, financing for most services of relatively high public health significance such as child survival, family planning and population services, control of emerging and endemic diseases, and immunization comes mostly from donor assistance. Increasing the effectiveness of this donor assistance has become a significant development issue in the past year. New donor assistance modalities, such as sector investment programs, offer new opportunities and challenges for donor coordination. AFR/SD will continue to monitor these trends and to assess the potential role that USAID can play in Africa with respect to these modalities. We will continue to build regional institutions' capability to coordinate donors and develop policies based on consensus. AFR/SD has taken the initiative to build collaborative relationships with a variety of donors, including the European Union, UNICEF, the World Bank, and others to increase the effectiveness of programming in Africa and with a view to developing concrete, field-oriented methods of working together. We will continue to promote donor consensus on key sustainability, quality, efficiency, and equity health policy issues.

**STRATEGIC
OBJECTIVE 8:**

**ADOPTION OF POLICIES AND STRATEGIES FOR INCREASED
SUSTAINABILITY AND QUALITY OF FAMILY PLANNING PROGRAMS.**

BY THE YEAR 2003

- !** **Increased commitment by African countries to provide services for underserved populations such as adolescents, males and urban populations.** By 2003, we expect to see 13 programs that incorporate appropriate policies and strategies for provision of reproductive health services to adolescents. We expect to see at least six major urban family planning programs implementing strategic plans based on systematic service analyses.
- !** **Increased commitment to integrate family planning, maternal/child health and STI/HIV/AIDS services.** We expect to see adoption of policy guidelines and strategies in 12 FP/MCH programs that include standard protocols and stress cost-effectiveness, supplies, and staff trained to assess, refer or treat STIs.
- !** **Increased African capacity to advocate for and provide quality family planning and other reproductive health services.** We expect three African public health institutions to be strengthened to provide quality design, evaluation and technical assistance to family planning programs in their sub-regions.

DEVELOPMENT OPPORTUNITY

Family planning is perhaps the most effective reproductive health intervention and continues to be the predominant focus of the Agency's population-assistance program. Many programs are now broadening the range of services to include selected components of reproductive health, such as the integration of STI/HIV/AIDS and family planning/MCH services, post-abortion care, and prevention of female genital mutilation and harmful birthing practices.

Within the broad range of problems found in the reproductive health sector, AFR/SD has identified four areas for focused support:

- Unreached potential of urban family planning services
- High rates of pregnancy and STI/HIV/AIDS prevalence among young adults
- Low male involvement in family planning
- Lack of adequate services for addressing STIs/HIV/AIDS

These problem areas were selected because they have been consistently identified by African

colleagues and collaborating partners as the most critical, and because they represent areas where cost-effective interventions are possible and are likely to have the greatest impact.

More than ever, new strategies are needed to focus efforts on priority issues, increase coordination among donors and African institutions and accelerate the use of policy-relevant information. While AFR/SD does not directly implement programs, AFR/SD plays a key role in identifying, revalidating, and disseminating best practices and promoting their adoption by USAID missions, other donors and African partners.

STRATEGY (See figure 13)

IR 8.1 Promote improved policies and strategies to expand family planning programs.

IR 8.1.1 Develop policies and strategies for addressing underserved populations (adolescent and males).

The number one challenge most frequently cited by African health planners is improving reproductive health behavior in young adults. What is needed now are wider, deliberate actions to address these young-adult issues, however complicated and politically sensitive they may be. Since 1992, AFR/SD has supported multiple regional initiatives for young adults. In west and southern Africa, efforts are underway to identify, test and evaluate a variety of service interventions. Building on current research and advocacy activities, AFR/SD plans to continue support for policies and strategies in the following areas:

- ! Educated barriers to serving young adults
- ! Increased social acceptability of serving young adults
- ! Expanded range of youth interventions
- ! Documentation and dissemination of successful programs
- ! Increased advocacy efforts for young-adult reproductive health interventions

In particular, AFR/SD will be working to determine if school-based abstinence programs can have strong positive impacts on reducing unwanted pregnancies and the transmission of sexually-transmitted diseases

Men's involvement in family planning - either as users of male methods or as supportive partners of users - has largely been ignored by family planning program planners and service providers. Given the critical role that African men play in family decisions, men's support and involvement are essential for family planning to become more widespread. Demographic and Health Surveys (DHS) show that in countries where more husbands had discussed family planning with their wives, more couples were practicing family planning.

Policy-makers, program planners and donors need to give increased attention to including men in counseling, services, and Information, Education and Communication (IEC) programs, and to encourage partner communication about reproductive health issues.

Adoption of Policies and Strategies for Increased Sustainability and Quality of Family Planning Services

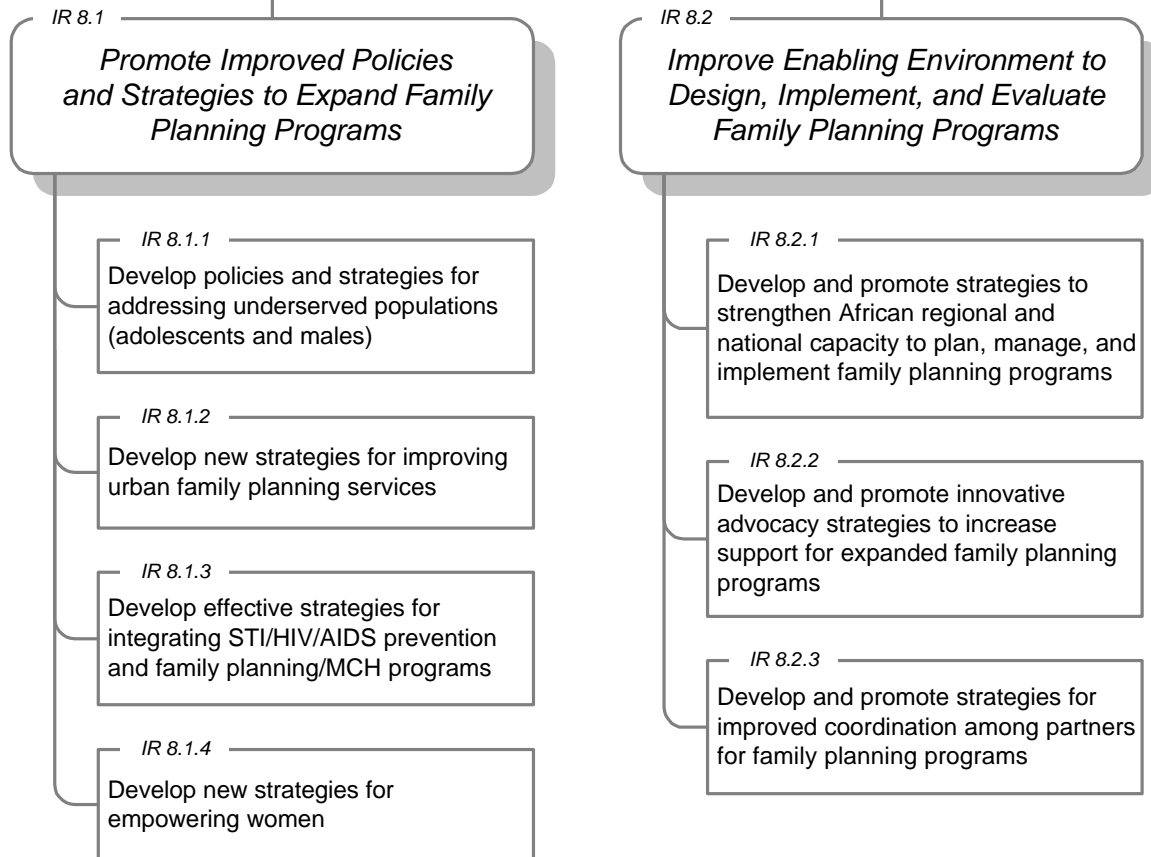


Figure 12

Anticipated activities include adding the issue of male involvement in family planning to regional conference and research agendas, and supporting operations research studies designed to test new interventions and refine existing strategies. Program experiences indicate that although services and information needs to be different for men and women, it is possible to address both men's and women's needs through modest changes in existing operations.

IR 8.1.2 Develop new strategies for improving urban family planning services.

Urban residents are natural clients of family planning programs: they tend to be better educated, more accessible, and more motivated to limit and space births than rural residents. Yet today, the contraceptive prevalence rates in the majority of Africa's urban areas remain low. Moreover, the urban population of Africa is growing faster than any other region of the world due to both in-migration and natural increase. Africa's urban population, which represented 33 percent of the total population in 1990, will increase to 45 percent by 2010.

The speed of urbanization, coupled with the financial difficulties currently facing many urban programs, is threatening urban program planners' ability to maintain the contraceptive prevalence rates they have already achieved, much less to expand and improve programs to accommodate growing numbers of clients. Current urban method mixes are also heavy in short-term methods (e.g., pills and condoms), which will increase the future service delivery burden dramatically. New facilities and staff capabilities for providing long-term methods, including NORPLANT, are urgently needed.

Refining assessment tools (e.g., situation analysis methodologies), developing new strategies to identify urban family planning operational constraints, and developing innovative approaches on how to use this information to improve service operations, are three chief areas that will receive focused support in the AFR/SD agenda. In collaboration with the Global Bureau, AFR/SD will explore options for adding an adolescent component to urban service assessment tools.

IR 8.1.3 Develop effective strategies for integrating STI/HIV/AIDS prevention and family planning/maternal child health programs.

Faced with limited resources, many national public health programs have begun to combine or integrate STI/HIV/AIDS programs with ongoing maternal/child health and family planning services. Because no clear road map exists to achieve such integration, AFR/SD initiated a partnership with REDSO/ESA in 1995 to conduct case studies of the integration experience as it unfolded. Today, five countries are participating: Botswana, Kenya, South Africa, Uganda, and Zimbabwe. Zambia and Malawi are expected to join later this year.

The actual costs and benefits of an integrated approach remain to be determined; these are major elements in the AFR/SD agenda. To advance our knowledge, AFR/SD, in collaboration with our REDSO and other partners, is supporting regional workshops to define a research agenda for integrated services. Starting in 1997-98, case studies will be supplemented by operations research interventions in Uganda and Zimbabwe. Under REDSO auspices,

AFR/SD will continue to promote collaboration among managers of the participating case study programs to share lessons learned and to identify best practices in the areas of training, logistics, and supervision. Lessons learned will be broadly disseminated and incorporated into existing manuals and guidelines on integration approaches.

IR 8.1.4 Develop new strategies for empowering women

A critical issue in family planning and women's and girls' health is to increase the legal protection of women over their own sexuality. Traditional attitudes of male dominance have led to such health-threatening practices as female genital mutilation, rape, and forcing sexual attentions on young girls to avoid AIDS. This is a very sensitive area, involving deeply-seated traditions, and it must be dealt with with great sensitivity. In fact, these practices will only change as the result of efforts of African civil society, particularly human rights and women's rights groups. AFR/SD will support Africa-wide networks of such groups in efforts to increase legal protection for women.

IR 8.2 Improve enabling environment to design, implement and evaluate family planning programs.

IR 8.2.1 Develop and promote strategies to strengthen African regional and national capacity to plan, manage, and implement family planning programs.

Working closely with Global Bureau programs, AFR/SD will focus on building African capacities to use data and research for improving policies and for planning, managing, and implementing programs. A significant component of improving data use will be to develop training manuals and tools that will help institutions plan strategically for data use, resulting in more accessible information for program planners. We plan to strengthen selected African public health institutions to support family planning programming in the region.

IR 8.2.2 Develop and promote innovative advocacy strategies to increase support for expanded family planning programs.

Developing sustainable, quality family planning programs is contingent upon an enabling policy environment and increased resource allocations. AFR/SD recognizes the importance of advocacy in raising awareness, building consensus, and mobilizing resources. To date, AFR/SD has supported the development of an extensive, practical training guide in advocacy and has conducted multiple advocacy training aimed at supporting reproductive health programs for young adults and men. AFR/SD will continue to promote innovative advocacy activities.

An important strategy to increase capacity will be the training of trainers in regional institutions such as Center for African Family Studies (CAFS) and Center for Applied Research on Population and Development (CERPOD). The trainers in turn will serve as advocacy trainers throughout the region.

IR 8.2.3 Develop and promote strategies for improved coordination among partners for family planning programs.

A key AFR/SD priority is to increase consensus and focus on priority family planning and reproductive health issues among donor agencies, cooperating agencies, NGOs, and local governments. New joint program strategies sponsored by the Global Bureau offer new opportunities to work collaboratively among USAID-supported partners. AFR/SD has taken the initiative to build collaborative relationships with a variety of donors, including WHO and International Planned Parenthood Federation (IPPF) to increase the effectiveness of programming and to reduce duplication of effort. We will also continue to build regional institutions' capacities to coordinate donors and develop strategic plans for mobilizing and allocating resources. Other activities designed to promote coordination include: collaborating with REDSOs in the design and implementation of regional workplans for reproductive health; promoting consensus on key policy and program issues; and supporting the participation of African partners at international and regional planning conferences.

**STRATEGIC
OBJECTIVE 9:**

**ADOPTION OF COST-EFFECTIVE STRATEGIES TO PREVENT AND
MITIGATE THE IMPACT OF HIV/AIDS.**

BY THE YEAR 2003

- ! Cost-effective, intersectoral HIV/AIDS strategies will be developed, improved, promoted and adopted in six African countries.
- ! At least ten countries will be using improved interventions for preventing HIV/STI transmission and reducing the impact of HIV/AIDS.
- ! In at least ten African countries, there will be improved design, management, and evaluation of HIV/AIDS programs, with an emphasis on improved surveillance and evaluation methods, as well as strengthened national and regional capacity.

THE DEVELOPMENT OPPORTUNITY

Africa is threatened by the most catastrophic health threat in its history. The continuing spread of infection with the human immunodeficiency virus (HIV) and the adverse impact of the acquired immunodeficiency syndrome (AIDS) on population and health constitute critical threats to sustainable socio-economic development affecting all countries of sub-Saharan Africa.

In mid-1996, 20 years after the onset of widespread transmission of HIV infections and 11 years after the initiation of major USAID financial and technical assistance, there is clear empirical evidence that the delayed onset of AIDS-related morbidity and mortality is now causing major adverse impacts on the health and demographic characteristics of populations -- and these adverse impacts are in direct proportion to the levels of HIV infection that were prevalent 5-10 years ago. Meanwhile current levels of HIV infection are on the increase in urban and rural areas of nearly every African country.

- ! As a result of high HIV prevalence levels 5-10 years ago in sub-Saharan Africa (now, more than 5 percent among urban adults aged 15-49), mortality rates will increase.
- ! Crude death rates will increase by 50 percent to more than 600 percent in some eastern and southern African countries.
- ! Population growth rates will remain positive in the year 2010 except in two countries: Botswana and Zimbabwe. In these countries, low fertility rates (2.92 in Botswana and 2.44 in Zimbabwe) combined with high mortality will result in negative population growth. In all countries, AIDS mortality will reduce population growth.
- ! Perhaps the largest demographic impacts of AIDS mortality will be on life expectancies

and orphanhood. Many years of life will be lost due to the AIDS epidemic. AIDS will increase mortality rates in childhood and especially among young adults of reproductive ages whose mortality is normally low. As a result, AIDS deaths will have a relatively larger impact on life expectancies than on any other demographic indicator. In Zimbabwe, without AIDS, life expectancy would have reached 70 years by 2010.

However, with AIDS, life expectancy in Zimbabwe is projected to be less than 35 by the year 2010.

- ! More than 12.6 million of the nearly 185 million adults (15-49 years of age) living in the 19 most effected countries of Africa were estimated to be HIV positive in 1995 (6.8 percent). Given the shortness of the average survival time of HIV-infected adults and the high fertility rates prevalent in most African countries, this implies that there were more than 24 million AIDS orphans in these countries by mid-1996.
- ! By 2010, a projected 34.5 million adults will be infected with HIV in these 19 countries, or 12.7 percent of the estimated 273 million adults. The impact of AIDS-related morbidity on skilled and unskilled labor productivity has not been adequately measured, estimated, or projected in most countries.

Based on current information and trends, many countries in sub-Saharan Africa can expect to see increases in infant, child and adult mortalities and related increases in orphanhood and dependency ratios that will result in declines in previously achieved improvements in health and population, as well as declines in the economic productivity and care-taking capacity of young men and women.

Despite more than 10 years of experience in HIV/AIDS prevention activities, the international community is still struggling to determine which interventions really work to prevent HIV transmission on a national scale in Africa. Serious information gaps on the effectiveness of HIV prevention and mitigation interventions, as well as a number of other constraints, such as the lack of leadership and weak commitment of a number of African governments have slowed efforts to advance and sustain HIV prevention and mitigation in the region. A critical constraint to improving HIV/AIDS prevention and mitigation in Africa has been the limited human resources and institutional capacity for designing, managing, and evaluating large scale interventions.

STRATEGY (See figure 14)

The AFR/SD strategy to support HIV/AIDS prevention and mitigation in Africa will be centered around documenting best practices and developing and promoting cost-effective strategies to limit the spread of HIV infection and to lessen its impact. AFR/SD will also work with various partners to ensure an enabling environment for the implementation of effective and sustainable HIV/AIDS programs in targeted countries.

Adoption of Cost-Effective Strategies to Prevent the Spread and Mitigate the Impact of HIV/AIDS

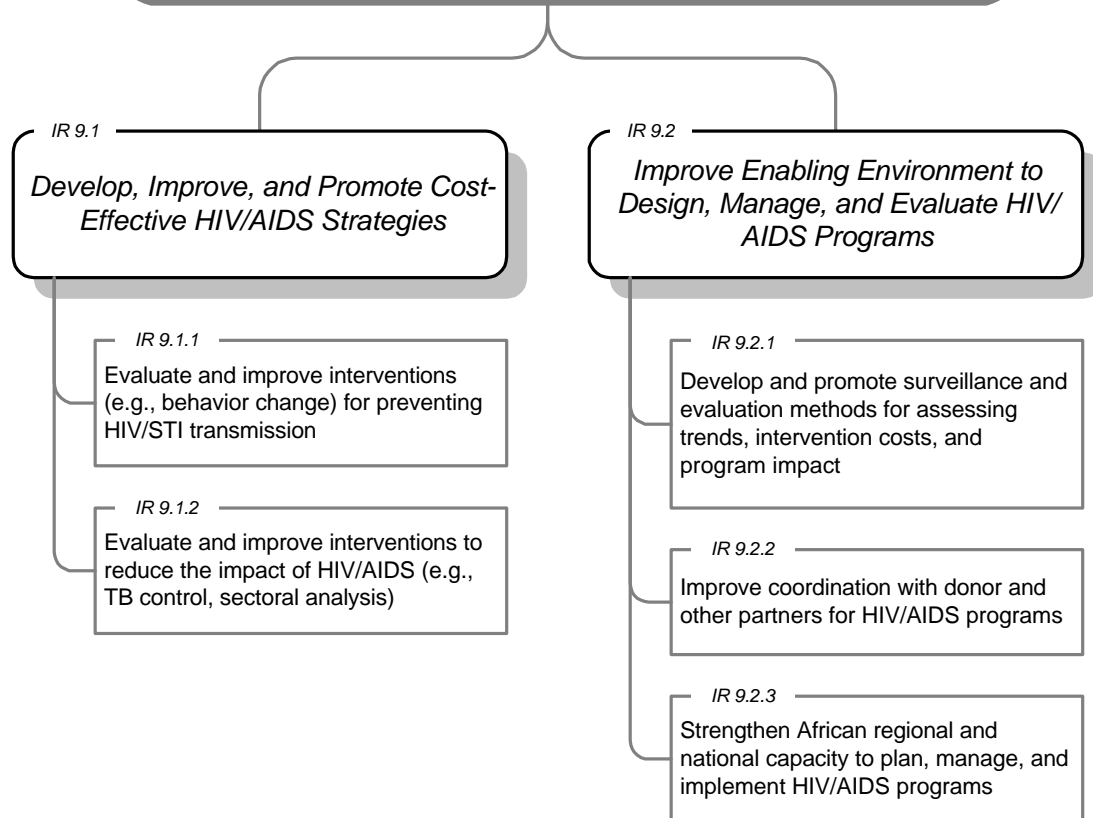


Figure 13

IR 9.1 Develop, improve, and promote cost-effective HIV/AIDS strategies.

Given current and projected levels of HIV infection in sub-Saharan Africa, new approaches and strategies to prevent transmission and mitigate its impact will be required. Although HIV seroprevalence rates appear to have stabilized or declined in some areas of Uganda, research and analysis is needed to evaluate whether these are real and due to intervention-related decreases in HIV incidence, or false and caused by premature mortality, changes in patterns of migration or other factors. As a result of such analyses, scientifically-sound guidance can be developed so that USAID Missions and development partners can develop appropriate cost-effective, scenario-specific HIV/AIDS prevention and mitigation approaches for each country.

IR 9.1.1 Evaluate and improve interventions (e.g., behavior change) for preventing HIV/STI transmission.

Because sexual transmission is the predominant mode of HIV transmission, preventing the epidemic's further spread requires fundamental changes in individual and community's sexual attitudes and practices. The interventions for affecting change in HIV transmission are: education on safe behaviors, promotion of condoms, and improved diagnosis and treatment of the other sexually transmitted infections (STIs). Interventions to reduce mother-to-child transmission and ensuring that blood used for transfusion is safe from HIV contamination are also significant but of lesser importance.

Research and pilot efforts promoting the above interventions -- education, condom promotion, and STI management -- show that risky behavior has changed and that rates of HIV infection and STI have been lowered in several groups and communities. Such efforts must now be expanded and the capacity to do so strengthened.

In addition, the numbers of HIV-infected people and people living with AIDS-related illnesses will be so large that governments and donor agencies will need to develop cost-effective intervention strategies to improve the accessibility and quality of care and support services for these individuals as an entry point for prevention as well as to reduce the adverse socio-economic consequences of AIDS.

IR 9.1.2 Evaluate and improve interventions to reduce the impact of HIV/AIDS (e.g., tuberculosis control).

Although not as urgent as improving HIV prevention, more needs to be done to document and improve our understanding of the nature and magnitude of HIV/AIDS-related socio-economic impacts, and how best to reduce them. Utilizing this increased understanding, innovative intersectoral approaches can be developed to mitigate the impact of HIV/AIDS.

Finding an appropriate balance between preventing new infections and caring for those already infected, especially in the era of the dual HIV-tuberculosis (TB) epidemic, will be a challenge to national AIDS and TB programs in Africa. Operations research to reduce the impact of HIV on the spread of the TB will be considered as part of a strategy for mitigating the AIDS epidemic.

IR 9.2 Improve enabling environment to design, manage and evaluate HIV/AIDS programs.

IR 9.2.1 Develop and promote surveillance and evaluation methods for assessing trends, intervention costs and program impact.

To develop and promote methods for improved surveillance and evaluation, it is anticipated that AFR/SD will: support targeted research and policy analysis; develop and promote the use of qualitative and quantitative tools (e.g., priority indicators, BUCEN database) for design, monitoring and evaluation; participate in and lead HIV/AIDS professional meetings and seminars to gather or disseminate the state-of-the-art knowledge in these areas; and provide technical support for monitoring and evaluation of the Agency-supported HIV/AIDS programs in Africa.

IR 9.2.2 Improve coordination with donors and other partners for HIV/AIDS programs.

Given the overwhelming need to improve the impact of HIV/AIDS programs, leadership and coordination are crucial in order to avoid duplication, waste of resources and confusion, and to ensure that HIV/AIDS initiatives are having a positive impact. A number of regional programs supported by bilateral and multilateral agencies have been initiated to support HIV/AIDS and STI prevention and mitigation in Africa. AFR/SD will work closely with UNAIDS, WHO/AFRO as well as the European Commission and other donors to develop improved ways of coordinating, joint planning and sharing information and lessons learned for strengthening HIV/AIDS programs.

IR 9.2.3 Strengthen African regional and national capacity to plan, manage, and implement HIV/AIDS programs.

Constraints such as the lack of sound leadership and weak government commitment to dealing effectively and openly with HIV/AIDS have hindered efforts to advance and to sustain HIV prevention and mitigation in the region.

One of the most critical constraints to improved HIV/AIDS prevention and mitigation in Africa has been the limited human resources and institutional capacity for designing, managing, and evaluating large scale interventions. For HIV/AIDS programs to be effective and sustainable, it is critical to build local capacity in both the public and the private sectors. AFR/SD will support and leverage other partners to work with selected African institutions and professionals to increase the technical and managerial capacity for HIV/AIDS prevention and mitigation.

**STRATEGIC
OBJECTIVE 10:**

**POLICIES, STRATEGIES, AND PROGRAMS IMPROVED FOR
PREVENTING MITIGATING, AND TRANSITING OUT OF CRISIS.**

BY THE YEAR 2003

- ! An effective conflict prevention "lens" will be used in the design of all USAID strategies in Africa.
- ! Effective responses to epidemics of common diseases will lower case fatality rates by at least a third.
- ! USAID strategies for moving from crisis to long-term sustainable development will be based on best practices distilled from a decade of experience.

DEVELOPMENT OPPORTUNITY

Elsewhere we have argued that sub-Saharan Africa is experiencing revolutionary political and economic change. While that is fundamentally true, it is unfortunately also true that a number of African countries, including some of the largest and most important countries on the continent, are now in the throes of political instability or conflict. The number of violent conflicts has declined, but the misery these conflicts have spread remains widespread. Moreover, for many countries, progress and stability remain fragile and the tensions that can rip a society apart seem stronger than the institutional and cultural ties that keep it together.

For the foreseeable future, USAID will continue to be present in a number of crisis-prone African countries. In the past five years, 40 percent of all worldwide crises occurred in Africa. Natural disasters, epidemics and conflict-related disasters have occurred more frequently and with greater negative consequences in Africa than in any other region of the world. In 1994, USAID devoted more than 30 percent of its total assistance to Africa to disaster-relief activities. More than 80 percent of all U.S.-supplied emergency food aid went to this crisis-afflicted region as well. This situation calls for new approaches to linking relief and development to ensure that all resources being utilized will ultimately contribute to a development process that raises the standard of living of vulnerable populations while at the same time reducing the instability and insecurity that threatens their well-being.

Man-made and natural disasters can wipe out years of development achievements. The costs of clean-up, reconstruction, and recovery associated with large-scale natural disasters and other crises can impose burdens on a national economy that persist for years. War, famine, and environmental damage can undermine development for decades. Annual losses from natural disasters now equal total official development assistance, so effective investments in prevention and mitigation promise a significant financial and strategic return. Thus, in

designing, implementing and evaluating assistance in transition situations, a better understanding of the relief and development linkages needs to be applied.

As is revealed in the apocalyptic vision of St. John, there are three types of crises -- war, natural disasters and disease. All of these have been prevalent in Africa and all of them have required the expenditure of enormous amounts of resources by USAID and other development agencies. While we know these resources are not strictly fungible with development resources, it is nevertheless criminal that the United States has spent more on emergency responses than we have on development.

Crises really present three issues for the development community: prevention, mitigation and transition. Prevention, of course, is the most preferable and the most elusive. To a large extent the entire USAID sustainable development program is a crisis prevention activity. There are many reasons why the great Southern African drought of 1992 did not result in widespread famine, but surely not the least of these was the level of development of key countries in the region, particularly South Africa and Zimbabwe.

THE APOCALYPTIC VISION

...there was a white horse! Its rider had a bow: a crown was given to him, and he came out conquering and to conquer...another horse, bright red: its rider was permitted to take peace from the earth, so that people would slaughter one another;...and there was a black horse! Its rider held a pair of scales in his hand...and a voice said, "A quart of wheat for a day's pay..." and there was a pale green horse! Its rider's name was Death...they were given authority...to kill with sword, famine and pestilence.

The Book of Revelation, 6:2-8

In particular, there is reason to believe that rising standards of living and more representative, less repressive government will, over the long term result in reduced conflict and greater effectiveness in mitigating disasters when they occur. However, in several areas our understanding and our capacity to respond are quite limited.

In particular, we do not know with any degree of specificity:

- ! the interrelationships between various patterns of development and the increased likelihood of violent conflict;
- ! the ways in which decentralization models increase or decrease regional and ethnic tensions and centrifugal impulses;
- ! the impact of rapid urbanization on conflict and a sense of safety;
- ! the impact that environmental degradation and increasing scarcity of land, water and forest resources has on conflict;
- ! the set of relief interventions that either most harm or most help sustainable development, nor what particular tools are available to make such determinations in

any given situation.

STRATEGY (Figure 15)

With heightened interest within the Agency and from Congress, the National Security Council, advocacy groups and others, AFR/SD has initiated and will continue to support analyses and dissemination of information that focuses on crisis-prevention and development linkages.

Experience from the past few years has taught us that the U.S. Government needs to remain committed to addressing transitions from prolonged crises to sustainable development by combining development and humanitarian resources more effectively. AFR/SD will support operational studies, analyses and information dissemination on how crisis prevention, epidemic preparedness and response, and crisis-mitigation planning can become integral to any sustainable development strategy. Efforts will also be made to strengthen African capacity to design, implement and evaluate crisis and transition situations.

IR 10.1 Develop and disseminate state-of-the-art knowledge on the ways that development programs can help prevent or mitigate crisis.

There are a number of important lessons learned from past experiences that can serve as a basis for new approaches to prevent, mitigate and transit out of crisis. Working with other USAID operating units (e.g., BHR, REDSOs) involved in transitional programs and with country nationals and other partners, AFR/SD will support a number of analyses to determine how various development factors and approaches may either increase the potential for violent conflict or reduce the negative social impact of crises. For the early part of the strategy this will be mostly an analytic activity; we expect that by the out-years we will be actively engaged in taking the results of these analytic activities and actively advocating integration of these lessons into the relief and development strategies of our partners.

IR 10.2 Promote country and sub-regional policies and strategies for epidemic preparedness and response.

In 1996, four West African countries (Burkina Faso, Mali, Niger and Nigeria) had severe meningitis epidemics. Nigeria and Burkina Faso declared meningitis disasters in 1996, and the USAID Office of Foreign Disasters (OFDA) responded to the declarations by sending a technical assistance team from the Centers for Disease Control and Prevention (CDC) to investigate the outbreaks and provided \$350,000 to Nigeria and \$25,000 to Burkina Faso to support their epidemic response efforts. Since 1994 the same countries and others in the same sub-region (Senegal, Liberia, Sierra Leone and Chad) have experienced a

recrudescence of cholera and measles epidemics, while African sleeping sickness has reached alarming levels in Angola, Congo and Zaire. Cote d'Ivoire, Gabon and Zaire have also experienced cases of Ebola hemorrhagic fever, and Sierra Leone and Guinea have experienced resurgence of lassa fever. In short, epidemics in Africa have been increasing on many fronts.

The increasing number of epidemics threatens to overwhelm health systems and to stall progress towards sustainable socioeconomic development in Africa. Reducing epidemics will improve the environment for a variety of development activities and for regional economic integration and growth.

Advancing and sustaining epidemic preparedness and response in Africa calls for collaboration between African governments and their development partners. The recent sub-regional meeting in Ougadougou on the control of epidemics in West Africa, attended by ministers of health and of interior as well as development-agency representatives, reaffirmed the need for coordinated efforts to address recurrent epidemics. The WHO Africa Regional Office, working with USAID and other development partners, is taking the lead in mobilizing the technical, managerial and financial resources needed to strengthen national and sub-regional capacities for epidemic preparedness and response.

AFR/SD will work with other development partners to support the WHO Africa Regional Office's leading role in mobilizing the technical, managerial and financial resources needed to strengthen national and sub-regional capacities for epidemic preparedness and response.

IR 10.2.1 Develop improved integrated disease control strategies and policies.

IR 10.2.1.1 Develop effective approaches for epidemic preparedness, early warning and response.

Epidemics of common diseases have been treated on an ad hoc basis, with little or no emphasis on developing capacity to quickly identify and respond rapidly to outbreaks. It is therefore important that certain activities be conducted to identify and improve the approaches used. Working with country nationals and partners, AFR/SD will support analyses to determine the potential social and economic costs of recurrent epidemics; we will assess and strengthen existing national surveillance systems in selected countries in west and southern Africa and we will support the development of national and sub-regional action plans for managing epidemics.

IR 10.2.1.2 Develop, adapt and test implementation/technical guidance.

Well defined and disseminated information on how countries and regions should prepare and respond to epidemics is critical but often lacking. While guidelines exist, they may be out of date, inconsistent and not available to the proper authorities. Therefore one of the first steps in developing and implementing an effective response to epidemics is a review of the existence and appropriateness of current country-level guidelines/norms for managing epidemics. Since some epidemics appear to be occurring more frequently and spreading to new areas of the continent, small operations research studies may be necessary to adapt and

validate epidemic interventions.

IR 10.2.1.3 Develop tools for monitoring and rapid detection of drug resistance.

To effectively control the spread as well as the impact of disease, availability and use of effective drugs is needed. Unfortunately, through ineffective use of some medication and changes in organisms, some diseases have become or are becoming resistant to many of the available and low-cost drugs for treatment. Work in this area by CDC, through AFR/SD, and WHO/AFRO in southern Africa is demonstrating the importance of supporting the process of rapid standardization and testing of tools to monitor drug-resistance for targeted diseases (e.g., malaria, meningitis, cholera, dysentery, etc.) and the need for timely sharing of information about drug resistance in the region.

IR 10.2.2 Strengthen capacity to implement and coordinate response to epidemics.

IR 10.2.2.1 Strengthen African institutions and technical capacity to respond to epidemics.

Epidemics have frequently been treated like fires, where you drop down some firemen from Europe and other developing nations to put out the fire. The problem is that little institutional capacity has been developed at the country level to quickly identify and respond to outbreaks before they become epidemics. Many of the common epidemics can be prevented through available vaccines and treated early with effective drugs; however, the constraint to doing so is often lack of an effective system or institutional capacity to provide data, training, and laboratory and logistical support needed. To ensure that case fatality rates do not rise above a certain threshold and that epidemics are identified early and contained, a larger cadre of African professionals positioned at regional, national and district levels for epidemic preparedness and management needs to be developed. AFR/SD will be working with its partners to strengthen epidemic response systems.

IR 10.2.2.2 Improve communication and coordination for responses to epidemics.

Many countries deny disease outbreaks until they can no longer be hidden or ignored. Improved public information as to what is occurring and what common members can do is needed. In addition, because infectious diseases cross borders easily, it is vital that a system be in place to alert government personnel at the borders about what may be occurring in the adjacent district or country so that proper precautionary measures can be taken. Along with increased public awareness of what to do, coordination with community and governmental organizations needs to be increased; one approach to be tested would be the establishment of intersectoral epidemic management committees.

IR 10.2.2.3 Improve community-level surveillance and social mobilization.

Social mobilization is more than selling a product or idea. It is the development of awareness among a targeted group as to how to identify and why they should respond to a message or in this instance, to cases of reportable epidemic diseases. Social mobilization is important for promoting disease surveillance at the community level and for nurturing an interest and awareness that at any time, an outbreak can occur and the members of the community have a role in protecting themselves and others by responding rapidly and appropriately.

IR 10.3 Disseminate state-of-the-art knowledge on the issues that promote rapid transition from crisis to sustainable development.

Emergency interventions generally have been successful in saving lives during crises. But strategies for successful transition from crises to development or preventing crises through long-term development planning are not widely known, or if known, not often followed. AFR/SD will support the documentation and dissemination of knowledge on filling these gaps.

AFR/SD will support analyses, operational studies, policy dialogue and consultations with other USAID units, donor agencies, governmental and non-governmental organizations, and a wide range of African organizations, to document and share knowledge on principles and approaches for integrated relief and development planning. Lessons learned from transition countries, especially those involved in the Greater Horn of Africa Initiative, should contribute to our understanding of the factors and conditions that promote successful transitions. AFR/SD will support the development of guidance and case studies and fora for lessons learned on effective transitions.

IR 10.4 Disseminate and promote assessment and evaluation approaches for application in crisis and transitional situations.

As part of AFR/SD's contribution to collaborative efforts to assist African countries to transit out of crises, AFR/SD will support the development of tools and methods for assessing trends, intervention costs, and program impact in crisis and transition situations. AFR/SD will draw on the technical expertise of its various partners, including African non-governmental organizations and professionals, to develop, test and disseminate a core set of development indicators for monitoring and evaluating crisis and transition situations.

**SPECIAL SUPPORT
OBJECTIVE ON
ENVIRONMENTAL
QUALITY**

**TOOLS, METHODS AND APPROACHES ARE ADOPTED AND
EFFECTIVE IN IMPROVING APPLICATION OF
ENVIRONMENTAL PROCEDURES AND STRATEGIES IN
MISSIONS' AND AFRICANS' PROGRAMS.**

To meet the USAID's sustainable development goal, environmental considerations must be incorporated into results planning, achieving, and monitoring. This section defines the AFR/SD environmental quality SSO, which sets out to help AFR's operating units integrate environmental issues into their programs to meet U.S. government environmental requirements while also improving the intrinsic environmental soundness of program design and implementation.

A key element of the Bureau's environmental effort is to develop tools, methods and capacities to carry out oversight responsibilities under USAID environmental procedures, including 22 CFR Part 216 (Reg. 16) and other environmental strategic guidance and policies, in ways which are consistent with the flexibility purposes and guidelines of re-engineering. This environmental quality SSO is parallel to the E/NRM SO, and is directly linked to it, but it applies -- by statutory definition -- to **all** AFR investments. Much of this is operationalized by other operating units, with the guidance of the Bureau Environmental Officer in AFR/SD.

AFR addresses these procedures in ways which look "beyond compliance" so as to complement the Bureau's E/NRM programming, and to help:

- ! assist countries to strengthen their capabilities in the realm of environmental evaluations;
- ! define environmental limiting factors that constrain development, and
- ! identify activities that can assist in sustaining or restoring the renewable natural resource base.

It is the Environmental Protection Unit, within AFR/SD, in conjunction with the network of regional and Mission environmental officers, which takes responsibility to promote environmental quality of programs and activities conducted within the Africa region. We encourage Agency environmental regulations to be addressed in letter and spirit, and environmental soundness principles to be incorporated into AFR planning in all sectors. The

THE REGS

Operational Bureaus are responsible for overseeing and supporting their Operating Units to ensure that environmental review in accordance with 22 CFR 216 is fully integrated into the decision-making process, including planning and approval of all programs and activities needed to implement the Bureau and its Operating Units' Strategic Plans.

ADS 204.3

operational mandate of the ENV Unit is to provide guidance to operating units with respect to environmental provisions of U.S. law and to review, modify and approve Mission and Bureau programs and projects to anticipate environmental consequences and promote environmentally sound development.

The Unit also provides for analysis, synthesis and development of technical information, to promote improved understanding of relief and development phenomena. Through the exchange of lessons learned and promotion of enabling conditions, AFR/SD empowers Missions, partners and other donors to incorporate environmental quality considerations into all future programs and activities.

Finally, the ENV Unit helps provide the training necessary for all partners to develop the capability necessary to design and implement environmentally sound programs. By assuring that lessons learned are shared with all partners, environmental quality is improved and advanced in the design and implementation of future programs and activities.

STRATEGY (See figure 16)

IR 1. Analytic processes lead to improved environmental soundness of humanitarian and development programming.

The ENV Unit addresses critical issues needing to be better understood to inform environmental compliance and decision making. Among these issue areas are:

A. Urbanization / Energy Requirements: The Africa Bureau will take stock of the trends in urbanization and energy requirements in Africa, to promote better understanding of the phenomena with respect to their implications for the Bureau's sustainable development strategy. This will allow us to identify the needs, opportunities, and potential partners, with the intent of developing capabilities to address the matter in a fashion consistent with the USAID/AFR manageable interest and comparative advantage.

B. Nexus of environment, agriculture, food security and population. In support of the E/NRM SO, we will analyze the key environmental factors that best describe the relationships between environmental management, sustainable agricultural production, and food security so as to identify "win-win" opportunities to operationalize practical activities linking agriculture, food, environment and socioeconomic conditions.

C. Food aid & environment. Historically, food aid programming has been conducted under the umbrella of relief and humanitarian assistance, and thus traditionally has not been considered to be subject to the requirements of Reg. 16. Recently, we have come to recognize that the environmental procedures logically should be applied to food assisted activities as well, to promote improved and environmentally more sustainable development. This is not to say that there have been major problems with Title II assistance, but makes good development sense to invoke an appropriate environmental review and screening process for activities undertaken. This is particularly true as,

Strategic Support Objective

Adoption of Effective Tools, Methods, and Approaches for Improving Application of Environmental Procedures and Strategies in Missions' and Africans' Programs

IR 1

Analytic Processes Lead to Improved Environmental Soundness of Humanitarian and Development Programming

IR 2

Capacity Built to Improve Environmental Review, Planning & Management, Leading to Implementation of Environmentally Sound Activities by USAID Missions, Africans, and Other Collaborators and Partners

IR 3

USAID Environmental Procedures are Integrated into Results Planning, Achieving, and Monitoring and Applied by SO Teams

IR 4

Environmental Frameworks in Place that Lead to Incorporation of Monitoring, Assessment, and Mitigation into Development Programs

Figure 15

increasingly, Title II resources are being programmed in line with strategic development objectives, not just humanitarian objectives, and often in conjunction with direct dollar grant resources. AFR/SD has been in the lead in adapting an apt environmental review process to the Title II PVOs, and incorporating environmental and social assessment into their planning. This has been happening in conjunction with the Bureau for Humanitarian Response, Office of Food for Peace (BHR/FFP).

D. Fertilizers, pesticides and other high inputs. Intensification of agriculture brings with it the risk of adverse environmental consequences which must be better understood. A series of analyses will be conducted to document both the positive and negative impacts of use of high-tech inputs, and to promote appropriate holistic approaches.

E. Microenterprise & environment. Opportunities exist to introduce environmental screening, mitigation and appropriate technologies to this burgeoning sector. It represents, together with a look at intermediate credit institutions & environment, an area of potential future application of the AFR environmental review and capacity building initiative.

F. Environmental monitoring and characterization of environmental degradation trends. This represents a continuing emphasis of the ENV unit, to develop better methods of collecting and applying data to determine the impact of programs in terms of results and environmental trends. One of the emphases has been upon the long-term consequences of policy reform, such as in Malawi's Agricultural Sector Assistance Program. It involves the application of environment information systems and spatially-referenced data in an integrated way.

IR 2. Capacity built to improve environmental review, planning & management, leading to implementation of environmentally sound activities by USAID Missions, Africans and other collaborators and partners.

Over the past few years, the Africa Bureau Environmental Office (AFR/SD), in conjunction with the Regional Environmental Offices (REDSO/ESA in Nairobi, and REDSO/WCA in Abidjan), has been developing and implementing an environmental management capacity building initiative known as ENCAP. Initially, this has been primarily intended to support USAID/AFR Missions, and their implementing agents and collaborators, particularly NGOs/PVOs. An important rationale for this initiative is that Africa Bureau environmental and legal staff have agreed to provide *significantly enhanced responsibility to carry out environmental reviews* to key USAID Missions in Africa. Experience has shown that such enhanced Mission and collaborator authority can greatly facilitate field-level program activity design and implementation.

Three elements are key to this Environmental Capacity Building Initiative (ENCAP), consistent with USAID's new precepts of flexibility: (a) new Environmental Guidelines for Small-scale Activities in Africa: Environmentally-sound Design for Planning and Implementing Humanitarian and Development Activities; (b) Environmental Assessment training courses and modules developed in cooperation with other donors (especially the African Development Bank and the World Bank) specifically designed to reach NGO and community-based organizations; and the development of programmatic and sectoral assessments at country level.

In addition, ENCAP incorporates analytical activities in the refinement and development of training tools and guidelines, and in informing environmental decision-making. It also involves coordinated and jointly programmed support by bureau environmental and regional environmental staff in visiting and backstopping Missions in environmental review and capacity building functions.

While ENCAP was designed primarily for NGO/PVO umbrella projects in which multiple sub-grant/sub-project environmental reviews are required, it can be tailored to meet specific mission program and project needs. For example, it has been adapted to microenterprise development, such as in the Southern Africa Enterprise Development Fund. Also, it turns out that the ENCAP initiative provides just what is needed by the Bureau for Humanitarian Response, in particular, the Food for Peace program, to address the matter of environmental review by its PL 480 PVOs. Thus, AFR has been engaging in an active dialogue with them on adapting the course materials and Environmental Guidelines. Other Bureaus have recognized the AFR environmental guidelines and course as filling a need; thus it is being considered for its applicability well outside Africa.

IR 3. USAID Environmental Procedures are integrated into results planning, achieving and monitoring and applied by SO teams

Despite the importance of flexibility and empowerment to the field under re-engineering, Operating Units will still need to ensure that USAID environmental requirements are met. The environmental quality SSO will support the process of ensuring compliance while working on proactive adaptive approaches to incorporating environmental review processes, capacity building and monitoring and mitigation.

Delegation of Authority to Missions for environmental approval is not legally possible, but various approaches are being taken by the Africa Bureau to devolve more responsibility to the Missions and host country. Because of the new emphasis on a strategic, results-oriented approach, Missions may also want to more strongly support measures within Results Packages that provide:

- ! Training and capacity building for PVOs/NGOs and other partners;
- ! Guidelines for design and implementation of PVO sub-grants;
- ! Develop, reform, adapt local application/enforcement of in-country environmental regulations;
- ! Development, with host country, of environmental monitoring, evaluation and mitigation plans;
- ! Environmental Assessment course for collaborators and Mission staff;
- ! Workshops that enhance participation in USAID environmental review process; and
- ! Encourage national environmental planning processes.

Operating units and SO Teams may need to alter their approach to environmental analysis in support of achieving results. Operating Units may develop flexible environmental review and analytic mechanisms in-country for carrying out the necessary analytic work to promote rapid turnaround time. SO teams may wish to develop an environmental analytic capability at the SO level, as well as programmatic or strategic assessment. This would not necessarily satisfy 22 CFR 216 requirements if obligations are below the SO level, but would provide the

underpinnings that would permit expeditious analysis, review and approval as activities are defined. This SO-level analytical base may need to be developed in conjunction with partners involved with the SO, and in some instances may rely on documentation or other analyses developed by others, such as within the framework of a National Environmental Action Plan or similar planning framework.

IR 4. Environmental frameworks in place that lead to incorporation of monitoring, assessment and mitigation into development programs.

Environmental strategic frameworks, such as National Environmental Action Plans or similar planning frameworks, provide the opportunity to develop national, regional and local-level environmental assessment and monitoring and mitigation policies and practices. Ideally, USAID Mission SOs will capitalize on and support the development of analytical and strategic frameworks. One concept which the ENV unit has experimented with since 1992 is the Environmental Monitoring, Evaluation and Mitigation Plan (EMEMP), where the emphasis has been on the host countries' indigenous capacity to generate information for use in planning for development and taking corrective actions. The experience with this approach needs to be further characterized and used to help develop better ways of anticipating, identifying and responding to potential environmental harm, to monitor the harm and to mitigate it.

**SPECIAL
OBJECTIVE 1:**

**POLIO ERADICATED IN SELECTED COUNTRIES IN A MANNER
THAT BUILDS SUSTAINABLE IMMUNIZATION PROGRAMS.**

BY THE YEAR 2003

- ! Polio eradication in Africa will be certified.
- ! The resources provided for the special initiative on polio will have contributed to the development of more sustainable systems and African capacity to plan, manage, and deliver quality health services at the health center and community levels.

DEVELOPMENT OPPORTUNITY

Polio imposes a terrible burden on African families. Every year, it leaves 20,000 to 30,000 African children paralyzed. When polio strikes, it affects not only the children but also their families who may have to care for them throughout childhood and at times for life.

In September 1995, the World Health Organization Regional Committee for Africa (WHO/AFRO) adopted a resolution urging its member states to initiate specific polio-eradication strategies. These strategies, including national immunization days (NIDs), will contribute to achieving the global eradication of polio by 2000.

A broad coalition of African and international partners stand behind this initiative, including USAID and:

- ! National governments;
- ! The World Health Organization;
- ! Rotary International;
- ! The United Nations Children's Fund (UNICEF);
- ! The U.S. Centers for Disease Control and Prevention (CDC); and
- ! The Government of Japan.

Africa has already seen substantial progress in reducing the burden of polio. Eleven of 48 African countries, comprising 10 percent of the total population, have consistently reported zero polio incidence for the past 4 years. These countries include small island nations and a few countries in southern Africa that are emerging as polio-free zones.

Yet even in southern Africa, there remain many unprotected children, and the risk of outbreaks remains high, such as those that occurred in Namibia in 1993 and again in 1994. In east

Africa, high immunization levels have been sustained in most countries throughout the '90s, particularly in Tanzania, Kenya and Uganda. Nonetheless, poliovirus remains in circulation, and all of these countries reported paralytic-polio cases in the past year.

Yet polio eradication can be achieved -- through increasing the level of routine immunization with oral-polio-vaccine as well as supplemental immunization through "national immunizations days" as well as "mopping-up" activities and stepped-up case surveillance. With the "Kick Polio out of Africa" initiative that began last year, progress toward eradicating polio has accelerated.

STRATEGY (See figure 17)

In April 1996, the USAID Administrator announced the Agency's expanded participation in the worldwide polio-eradication effort. A USAID/Washington technical working group developed a framework for the Agency's support which corresponds closely with this special objective and its results.

In 1996, AFR/SD signed a \$6.5-million grant with WHO/AFRO to support this effort in the context of the U.S. child survival program. In addition, since 1993 USAID has provided \$24-million in grants to UNICEF to make immunization programs in Africa more sustainable. Through 2000, USAID expects to provide funding to support and complement the work of its partners in the battle to eradicate polio in Africa.

Last year, as part of a U.S. Congressional directive, \$8 million was authorized to support polio eradication in sub-Saharan Africa. This year, an additional \$15.95 million has been authorized for this purpose and is expected to be committed once final administrative details have been completed. In addition, it is expected that significant support will be continued through 2000.

SPO 1.1 Strengthen partnerships to support the implementation of polio eradication and immunization/disease-control programs.

A key component of the eradication effort is the formation of regional and country-level interagency coordinating committees (ICCs). An ICC is a committee convened by the national manager of immunization programs, composed of public and private sector service providers and international and bilateral agencies. These committees facilitate donor coordination and enable countries to identify funding gaps based on annual and five-year action plans. USAID supports ICC activities and plays a critical leadership role by articulating and advocating the need to use the global polio-eradication efforts as an opportunity to develop sustainable immunization and disease-control activities.

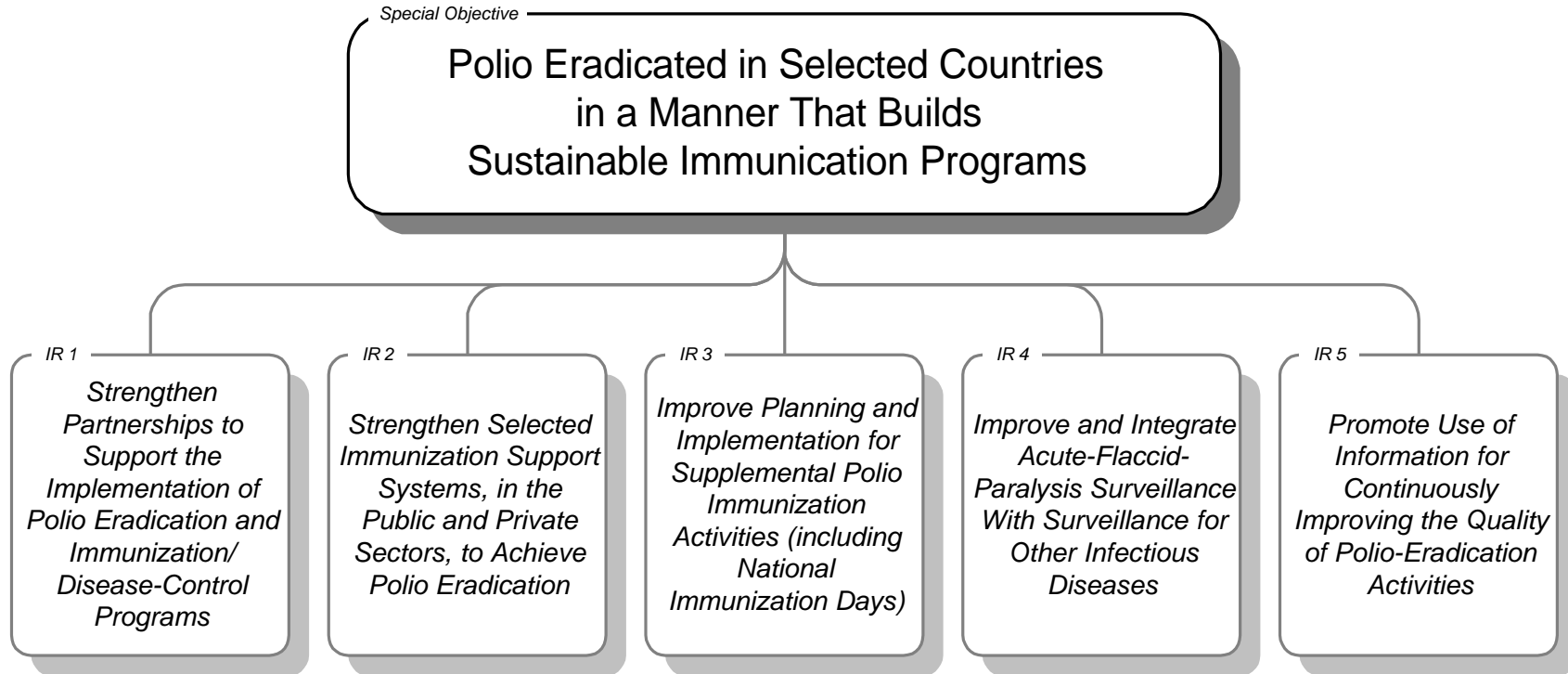


Figure 16

SPO 1.2. Strengthen selected immunization support systems in the public and private sectors to achieve polio eradication.

Planning, training and management along with the cold chain and social mobilization constitute the critical components of immunization programs that need to be strengthened in sub-Saharan African countries in order to achieve polio eradication. At the same time, bolstering these components will strengthen overall immunization systems. AFR/SD support to countries through its grants to WHO/AFRO, UNICEF and through Global projects, will support national and district-level planning, management and training for polio-eradication support systems.

Social mobilization, to ensure community participation as well as commitment and support from the highest level, is key to obtaining high vaccination coverage of target children during the delivery of both the routine EPI and of National Immunization Days (NIDs). AFR/SD will support activities to attain the following results: improved information, information, education and communication strategies for immunization, increased political support to NIDs and routine immunization, increased African capacity for support to social mobilization activities both for NIDs and for routine immunization.

SPO 1.3 Improve planning and implementation for supplemental polio immunization activities (including NIDs).

During NIDs, the enormous influx of vaccine and the speed with which it must be dispatched to appropriate vaccination posts presents a formidable challenge to logistics systems and requires careful advance planning. AFR/SD will support the preparation of detailed plans for NIDs and related training for national and district managers. Through supplementary immunization activities, diverse elements of the community need to join together. For example, in-kind contributions from courier services, soft drink companies, and other types of industries have been essential elements in NIDs in many countries. Numerous civic and community groups have also volunteered their time and services for NIDs. During NIDs, the many lay volunteers that are enlisted to vaccinate require training and supervision. At more advanced stages of polio eradication, additional training for outbreak response immunization and mopping-up immunization activities in high risk areas will be needed. Monitoring and evaluation will be built into supplementary immunization activities.

SPO 1.4 Improve and integrate acute-flaccid-paralysis surveillance with surveillance for other infectious diseases.

Since the ultimate purpose of immunization is to prevent diseases, cases and deaths from the target diseases should be counted regularly. Polio eradication efforts require a laboratory-based surveillance system that can be expanded to cover other vaccine-preventable diseases such as measles, diphtheria, as well as other diseases such as cholera and malaria. Critical to the success of any such system, however, are sufficient personnel and the infrastructure for transmitting information in a timely way. Without reliable surveillance data, countries will be required to continue expensive NIDs until eradication is certified. Additionally, another part of the surveillance system is the "reverse cold chain" that needs to be established to ensure that samples from suspected cases (and their contacts) are maintained at a cold temperature from the time of their collection until their analysis in a

specially-designated laboratory. AFR/SD will support the training and implementation of surveillance to support polio eradication and eventually will support polio-eradication certification activities.

SPO 1.5 Promote use of information for continuously improving the quality of polio-eradication activities.

While the ultimate measure of success will be the eradication of disease, NIDs are a multi-year activity. The more effective they are, the greater the likelihood of achieving polio eradication sooner. Therefore the collection and continuous use of information to improve NID activities is essential in order to optimally implement polio-eradication strategies in different country situations.

AFR/SD will support activities such as the development of appropriate process indicators, south-to-south technical cooperation in NID planning, surveillance and response, and the sharing of lessons learned at country and regional fora.

SYNERGIES

As should by now be apparent, this strategy is built on a series of synergisms among its strategic and special objectives. For example:

- ! Strategic Objective One, our D/G objective is centered on linkages in local level democracy/governance activities and AFR activities in education, agriculture, health and natural resource management;
- ! As has traditionally been the case, our work in agriculture (SO 3) and the environment (SO5) are connected from birth, and our approach to environmental issues and agricultural development issues are inextricably linked.
- ! Work on financial markets, market liberalization and business development in both economic growth (SO 2) and agriculture (SO 3) will be done in close coordination;
- ! SO 5, our information objective will be working with, and contributing to, the work of all of our other SOs;
- ! SO 10, our crisis SO, links activities in D/G. food security and health;
- ! Our strategic objectives in health, population and HIV/AIDS are all linked in terms of improving integration of all HPN programs;
- ! In both the agricultural SO and the health SO we will be examining nutrition issues and forging linkages between these two approaches;
- ! The environmental strategic support objective will also be working across all sectors.

Of particular interest will be the cross-cutting work in urbanization which cuts across the

democracy, economic growth, agricultural and population SOs.

The proper management of rapidly growing urban areas in Africa represents a major challenge and need for national decision makers, and an assistance opportunity for donor organizations. Responding to urbanization is not simply a question of expanding urban infrastructure. It has profound implications on the delivery of social services, governing structures, economic policies, and employment needs. While in the past, donors have paid scant attention to the impact of rapid urbanization in Africa, now is an appropriate time for the donor community to respond to this phenomenon. AFR/SD will identify the implications of urbanization for Africa Bureau programs, and address opportunities for cross-sectoral synergies in key areas of the AFR/SD portfolio, as well as establish and strengthen cross-sectoral synergies between urbanization approaches and programs in key areas in the Africa Bureau.

Urban areas in Africa are a growing concern for national policy makers and donor agencies. Although urban areas have long contributed a disproportionate share to gross national product in most countries, largely because industrialization policies have favored urban centers, Africa has been rural in character. Development assistance has reflected this rural character by supporting rural and agricultural development. However, demographic trends suggest that a reconsideration of national policies and development assistance is necessary. These trends—coupled with important political shifts in fledgling democracies on one hand and social concerns raised by structural readjustment on the other—suggest that developing policies to respond to the growth of urban areas and their governance is critical at this point. USAID can play a leading role.

Unlike many other developing continents, Africa's population has continued to grow at a high rate during the past decade. Natural growth rates, compounded by high rates of internal migration, have resulted in unprecedented rates of urbanization. The United Nations estimates that the percentage of urban population will increase from 33.8% in 1994 to 53.8% in 2025. Policies redressing the degree of urban bias in African economic strategies may slow down the rate of internal migration. Nevertheless, many countries will have a near doubling in this period. For example, Kenya's urban population will grow from 27% to 52%.

The high rate of population growth is not the only concern. In Africa, as in other continents, urbanization is accompanied by a breakdown of traditional networks, kinship patterns, and leadership mechanisms. Ethnic homogeneity of rural areas is replaced by heterogeneity within relatively small geographic areas. Nevertheless, surrogate forms of ethnic groupings and traditional structures have been formed. Clearly the disappearance of traditional structures has led to social breakdown and increased dependence on public governing institutions. However, the surrogate structures and new forms of networks constitute an opportunity that has not been fully appreciated.

Although the primary cities have benefited from high levels of infrastructure investment, generally for industrial and commercial areas and for elite residential areas, they are poorly equipped to manage mushrooming squatter and low income areas that receive much of the incoming migration. With reductions in central government resources for infrastructure investment (and donor financing not realistically existing on the scale that is required), the mobilization of local resources and the development of innovative service delivery mechanisms is essential. The problem is more acute in secondary cities, also growing rapidly, where the

physical, social, and administrative infrastructure is even less developed.

Inadequate infrastructure in squatter settlements and other forms of unplanned urban growth leads to poor environmental conditions that have a severe impact on health and productivity. This relationship and the resulting demand for sanitation services is relatively well understood. On the other hand, the implications for the delivery of other services may be less documented. For example, how should a health service delivery be structured to accommodate more complex work and living patterns and how can primary care services be structured to avoid the heavy demand on secondary care facilities?

Most countries in sub-Saharan Africa are paying renewed attention to decentralization policies. Subnational or local government systems have existed in some form for many decades. Now, with additional support from structural adjustment programs, more attention has focused on devolving responsibility from previously centralized service units, whether in education or urban services, and strengthening the management capacities of local institutions. Strengthening service delivery at the local level is intended to more accurately reflect the preferences of service consumers and to make service agencies more accountable. While there has been much discussion about decentralization, implementing it by creating effective local units remains problematic. Local capacities remain weak and the real willingness of central authorities to relinquish their authority has yet to be proven in many countries. Yet, establishing effective local institutions is imperative if African nations are to successfully meet the challenge of managing urban growth.

USAID and other donors have gained substantial multi-disciplinary field experience in a number of sectors that is directly relevant to tackling the problems of urban management in Africa. Some of the issues in Africa are not unique to urban areas *per se*. However, urban areas need focused, consolidated solutions. From lessons learned through projects such as the successful West Africa Municipal Management Training Program, the Local Government Support Project in Ivory Coast, education policy reform for the Africa Bureau, the Tigray Education Decentralization Study in Ethiopia, the HHRAA Assessment of Urban health and Family Planning, and numerous USAID and World Bank-funded assistance missions throughout the continent, leverage points exist at the policy and institutional levels as well as at the operational level. While some lessons are sector specific, others are cross-cutting, for example relating to governance and finance, and provide a sound base for strategy development.

AFR/SD will:

- ! build awareness of urbanization trends and issues within the Agency;
- ! identify the characteristics or requirements of sectoral services that are uniquely urban in nature as well as identify the rural-urban linkages which are some of the most important factors associated with urbanization in Africa;
- ! identify key issues on which USAID should focus its resources to achieve strategic objectives.

PART IV: RESOURCE REQUEST

AFR/SD's resource request is presented in Tables 1 through 5. There are three scenarios which we will examine -- a base case which provides us with largely the same level resources we received in FY 1997; a 20% cut scenario which provides us with about 20% less; and a plus-up based on two new initiatives -- the Food Security Initiative and the Trade and Investment Initiative.

Base Case. The base case is presented in Table 1. That table provides our resource requirements by strategic objective for the fiscal years 1998 through 2003. Note that we have not included in our base levels \$14.5 million of expected resources. The largest portion of that is eleven million dollars per year of money earmarked for polio. Our best guess is that Congress will continue appropriating this money for at least three years -- the time we estimate is required to eradicate polio from Africa, but no one is quite certain if that guess is accurate or not. The other \$3.5 million represents money that is provided to SD and which we pass on to the State Department for the Democracy and Human Rights Fund. While we are working to make that expenditure results-oriented, we have too little management authority to take responsibility for achieving results. Equally important, this is not the way we would be spending scarce D/G resources if we had discretion over the funds.

The base case more or less reflects things as they are with small adjustments:

- ! Declining levels for the Leland initiative after the year 2000
- ! Declining levels for health and population as we achieve many of our objectives
- ! Slight increase in environment reflecting the expansion of CARPE activities into Zaire
- ! Small increases in the economic and agricultural SOs to reflect implementation of new activities such as data collection methodologies and nutrition
- ! A strong commitment to increase HIV/AIDS funding to accomplish the objectives we have set out for ourselves

Twenty Percent Reduction. The 20% reduction scenario is presented in Table 2. We drop three SOs -- D/G, Population and Crisis. We drop the D/G and Crisis SOs because they represent new activities for us and we would rather drop what we have yet to begin than curtail areas in which we are already having success. We drop the pop SO because it is an area of particular strength for the Global bureau, and while we believe our population SO will make important differences in Africa, it is less fundamental to the success of AID's program than our work in other areas is.

- ! In SO 2 we would have to reduce our support to several capacity building efforts. While this would lead to a reduced level of results, we would not drop any IRs.
- ! In SO 3 we would drop the IR on nutrition.
- ! In SO 5 we would not be able to expand CARPE into Zaire.

TABLE 1: PROGRAM RESOURCES -- BASE CASE
(millions of dollars)

	FY 98	FY 99	FY 00	FY 01	FY 02	FY 03	TOTAL
D/G	1.0	1.0	1.0	1.0	1.0	1.0	6.0
ECONOMICS	3.0	3.0	4.0	4.0	4.0	4.0	22.0
AGRICULTURE	6.0	6.0	6.0	7.0	7.0	7.0	39.0
INFORMATICS	3.0	3.0	3.0	1.5	1.5	1.0	13.0
ENVIRONMENT	6.0	6.0	7.0	7.0	7.0	7.0	40.0
EDUCATION	3.0	3.0	2.5	2.5	2.0	2.0	15.0
HEALTH	12.0	11.0	10.0	9.0	9.0	9.0	60.0
POPULATION	2.3	2.0	1.5	1.5	1.0	1.0	9.3
HIV/AIDS	2.5	3.0	3.0	3.5	3.5	4.0	19.5
CRISIS	1.5	1.3	1.3	1.5	1.5	1.5	8.6
ENVIRMENT SSO	0.7	0.7	0.7	0.5	0.5	0.5	3.6
TOTAL	41.0	40.0	41.0	39.0	38.0	38.0	236.0
POLIO	11.0	11.0	11.0	0.0	0.0	0.0	33.0
DHRF	3.5	3.5	3.5	3.5	3.5	3.5	21.0
GRAND TOTAL	55.5	54.5	54.5	42.5	41.5	41.5	286.0

- ! In SO 7 we would have substantially reduced results in IR 2; we would not be able to support the malaria initiative, and we would reduce our support to WHO/AFRO for immunization programs and integrated management of childhood illnesses. We would drop the sub-IR on improving child health care in the home and in the community.
- ! In addition, we would reduce funding for the Democracy and Human Rights Fund (when one suffers, all suffer).

The Initiatives. The FY 1998 request to Congress contains a new initiative to promote food security in Africa. If that initiative is approved, and if, in subsequent years it becomes clear that both the Administration and the Congress are committed to a long-term initiative on food security in Africa, then AFR/SD requests an increment in the funds designated for SO 3 -- Agriculture -- of \$2 million per year. These funds would be used to support Mission activities in market liberalization (IR 3.1.1) and to support agricultural technology development and transfer (IR 3.2.1).

In addition, the Administration is embarking on a new Trade and Investment Initiative for Africa. As part of that initiative, AID has promised to provide \$5 million a year in technical assistance funds for supporting policy reform in areas related to trade and investment, and \$1 million a year to support increased partnerships between the United States business community and the African business community. These activities are included in IR 2.1.1 and IR 2.2.3.

Staffing. AFR/SD's staff are our most important resource. They are the critical link between program resources and results. We can much more easily manage a reduction in program dollars than staff, although, since the largest part of our staff are program funded, reductions in program resources force us to make hard choices. Staffing levels for the base case and the cut scenario are presented in Tables 4, 5, and 6. USDH levels in the base case remain at the current level of 20, but program-funded levels are somewhat higher than current staff and vacancies, but well within the ceilings provided the Bureau by the Management Bureau. In the cut scenario, staff cuts reflect programmatic choices. At the initiative level we would require three extra program-funded staff.

TABLE 2: PROGRAM RESOURCES -- 20% CUT
(millions of dollars)

	FY 98	FY 99	FY 00	FY 01	FY 02	FY 03	TOTAL
D/G	0.0	0.0	0.0	0.0	0.0	0.0	0.0
ECONOMICS	2.5	2.5	3.0	3.0	3.0	3.0	17.0
AGRICULTURE	5.5	5.5	5.5	6.0	6.0	6.0	34.5
INFORMATICS	3.0	3.0	3.0	1.5	1.5	1.0	13.0
ENVIRONMENT	5.0	5.0	5.0	6.0	6.0	6.0	33.0
EDUCATION	3.0	3.0	2.5	2.5	2.0	2.0	15.0
HEALTH	10.0	10.0	10.0	8.0	8.0	8.0	54.0
POPULATION	0.0	0.0	0.0	0.0	0.0	0.0	0.0
HIV/AIDS	2.5	3.0	3.0	3.5	3.5	4.0	19.5
CRISIS	0.0	0.0	0.0	0.0	0.0	0.0	0.0
ENVIRMENT SSO	0.7	0.7	0.7	0.5	0.5	0.5	3.6
TOTAL	32.2	32.7	32.7	31.0	30.5	30.5	189.6
POLIO	11.0	11.0	11.0	0.0	0.0	0.0	33.0
DHRF	2.5	2.5	2.5	2.5	2.5	2.5	15.0
GRAND TOTAL	45.7	46.2	46.2	34.5	33.0	33.0	237.6

**TABLE 3: PROGRAM RESOURCES:
WITH FOOD SECURITY AND TRADE/INVESTMENT INITIATIVES**
(millions of dollars)

	FY 98	FY 99	FY 00	FY 01	FY 02	FY 03	TOTAL
D/G	1.0	1.0	1.0	1.0	1.0	1.0	6.0
ECONOMICS	8.5	8.5	9.5	9.5	9.5	9.5	55.0
AGRICULTURE	8.5	8.5	9.5	9.5	9.5	9.5	55.0
INFORMATICS	3.0	3.0	3.0	1.5	1.5	1.0	13.0
ENVIRONMENT	6.0	6.0	7.0	7.0	7.0	7.0	40.0
EDUCATION	3.0	3.0	2.5	2.5	2.0	2.0	15.0
HEALTH	12.0	11.0	10.0	9.0	9.0	9.0	60.0
POPULATION	2.3	2.0	1.5	1.5	1.0	1.0	9.3
HIV/AIDS	2.5	3.0	2.0	3.5	3.5	4.0	19.5
CRISIS	1.5	1.3	1.3	1.5	1.5	1.5	8.6
ENVIRMENT SSO	0.7	0.7	0.7	0.5	0.5	0.5	3.6
TOTAL	49.0	48.0	48.0	47.0	46.0	46.0	284.0
POLIO	11.0	11.0	11.0	0.0	0.0	0.0	33.0
DHRF	3.5	3.5	3.5	3.5	3.5	3.5	21.0
GRAND TOTAL	63.5	62.5	62.5	50.5	49.5	49.5	338.0

TABLE 4: STAFF RESOURCES -- BASE CASE

	FY 98		FY 99		FY 00		FY 01		FY 02		FY 03	
	DH	PF	DH	PF	DH	PF	DH	PF	DH	PF	DH	PF
D/G	2	2.5	2	2.5	2	2.5	2	2.5	2	2.5	2	2.5
ECONOMICS	4	7	4	7	4	7	4	7	4	7	4	7
AGRICULTURE	2	10	2	10	2	10	2	10	2	10	2	10
INFORMATICS	0.5	2	0.5	2	0.5	2	0.5	2	0.5	2	0.5	2
ENVIRONMENT	1.5	7	1.5	7	1.5	7	1.5	7	1.5	7	1.5	7
EDUCATION	1	4	1	4	1	4	1	4	1	4	1	4
HEALTH	1	4.5	1	4.5	1	4.5	1	4.5	1	4.5	1	4.5
POPULATION	0.5	2.5	0.5	2.5	0.5	2.5	0.5	2.5	0.5	2.5	0.5	2.5
HIV/AIDS	1	3	1	3	1	3	1	3	1	3.5	1	3.5
CRISIS	1	1	1	1	1	1	1	1	1	1	1	1
ENVIRMENT SSO	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1
POLIO	0	0.5	0	0.5	0	0.5	0	0.5	0	0	0	0
MANAGEMENT	5	0	5	0	5	0	5	0	5	0	5	0
TOTAL	20	45	20	45	20	45	20	45	20	45	20	45

USDH: U.S. Direct Hire

PF: Program Funded

TABLE 5: STAFF RESOURCES -- 20% CUT

	FY 98		FY 99		FY 00		FY 01		FY 02		FY 03	
	DH	PF	DH	PF	DH	PF	DH	PF	DH	PF	DH	PF
D/G	1	0	1	0	1	0	1	0	1	0	1	0
ECONOMICS	3	6	3	6	3	6	3	6	3	6	3	6
AGRICULTURE	2	9	2	9	2	9	2	9	2	9	2	9
INFORMATICS	0.5	2	0.5	2	0.5	2	0.5	2	0.5	2	0.5	2
ENVIRONMENT	1.5	6	1.5	6	1.5	6	1.5	6	1.5	6	1.5	6
EDUCATION	1	4	1	4	1	4	1	4	1	4	1	4
HEALTH	1	4.5	1	4.5	1	4.5	1	4.5	1	4.5	1	4.5
POPULATION	0.5	0	0.5	0	0.5	0	0.5	0	0.5	0	0.5	0
HIV/AIDS	1	3	1	3	1	3	1	3	1	3.5	1	3.5
CRISIS	0	0	0	0	0	0	0	0	0	0	0	0
ENVIRMENT SSO	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1
POLIO	0	0.5	0	0.5	0	0.5	0	0.5	0	0	0	0
MANAGEMENT	5	0	5	0	5	0	5	0	5	0	5	0
TOTAL	17	36	17	36	17	36	17	36	17	36	17	36

USDH: U.S. Direct Hire
PF: Program Funded

**TABLE 6: STAFF RESOURCES:
WITH FOOD SECURITY AND TRADE AND INVESTMENT INITIATIVES**

	FY 98		FY 99		FY 00		FY 01		FY 02		FY 03	
	DH	PF	DH	PF	DH	PF	DH	PF	DH	PF	DH	PF
D/G	2	2.5	2	2.5	2	2.5	2	2.5	2	2.5	2	2.5
ECONOMICS	4	9	4	9	4	9	4	9	4	9	4	9
AGRICULTURE	2	11	2	11	2	11	2	11	2	11	2	11
INFORMATICS	0.5	2	0.5	2	0.5	2	0.5	2	0.5	2	0.5	2
ENVIRONMENT	1.5	7	1.5	7	1.5	7	1.5	7	1.5	7	1.5	7
EDUCATION	1	4	1	4	1	4	1	4	1	4	1	4
HEALTH	1	4.5	1	4.5	1	4.5	1	4.5	1	4.5	1	4.5
POPULATION	0.5	2.5	0.5	2.5	0.5	2.5	0.5	2.5	0.5	2.5	0.5	2.5
HIV/AIDS	1	3	1	3	1	3	1	3	1	3.5	1	3.5
CRISIS	1	1	1	1	1	1	1	1	1	1	1	1
ENVIRMENT SSO	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1
POLIO	0	0.5	0	0.5	0	0.5	0	0.5	0	0	0	0
MANAGEMENT	5	0	5	0	5	0	5	0	5	0	5	0
TOTAL	20	47	20	47	20	47	20	47	20	47	20	47

USDH: U.S. Direct Hire

PF: Program Funded

ANNEX

Office of Sustainable Development

FY 1998 - 2003 Strategic Plan

Performance Indicators

April 1997

CONTENTS

The following pages present the performance indicators developed for AFR/SD's 1998 - 2003 strategic plan. Indicators are included for each of the ten strategic objectives, as well as for the strategic support objective and special objective. In some cases, indicators also are included for key intermediate results. While almost all indicators here are quantitative, we will be considering, over the next few months, the development of additional qualitative indicators which may capture program performance in ways that numerical values cannot.

<u>SO#</u>	<u>SO Title</u>	<u>Page</u>
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SSO	Adoption of tools, methods and approaches for improving application of environmental procedures and strategies in missions' and Africans' programs	26
SpO	Polio eradicated in selected countries in a manner that builds sustainable immunization programs	27

Performance Indicators **SO #1**

Strengthen cross-sectoral synergies between democracy and governance and Africa Bureau programs in key areas

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
1-1 Analyses of best practices in cross sectoral decentralization programs produced	Description: Analyses will identify and document the further development of best practices. Unit: Studies conducted	0	96	0	0	1	1	1	1	1	annual	AFR/SD, missions and NGO partners	Initial analysis will be conducted of current best practices and areas for improvement, with annual follow-up analyses thereafter
1-2 Analyses of best practices in strengthening community level civil society produced	Description: Analyses will identify and document the further development of best practices. Unit: Studies conducted	0	96	0	0	1	1	1	1	1	annual	AFR/SD, missions and NGO partners	Initial analysis will be conducted of current best practices and areas for improvement, with annual follow-up analyses thereafter
1-3 Incorporation of decentralization into other sector programs	Description: Qualitative indicator; measure of SD's success in promoting use of decentralization, and its impact.	*	*	*	*	*	*	*	*	*	annual	Assessment involving SD and its partners	Annual assessment to judge progress. Baseline and targets to be determined during first year.
1-4 Incorporation of civil society principles into other sector programs	Description: Qualitative indicator; measure of SD's success in promoting use of civil society, and its impact.	*	*	*	*	*	*	*	*	*	annual	Assessment involving SD and its partners	Annual assessment to judge progress. Baseline and targets to be determined during first year.

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
1-5 Technical assistance on incorporating cross-sectoral best practices in CSP and other policy documents provided	Unit: Missions assisted	0	96	0	0	4	4	4	4	4	annual		

Performance indicators **SO #2**

Adoption of improved strategies, programs, and activities (SPAs) for accelerated, sustainable, and equitable economic growth

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
2.1 Number of countries adopting improved SPAs to accelerate sustainable and equitable growth	<p>Definition: Adoption of SPAs in the following areas will be tracked:</p> <p>I) Trade and Investment,</p> <p>II) Domestic resource mobilization,</p> <p>III) Liberalize key markets and expand private enterprisenit: #, cumulative</p> <p>Unit: cumulative #</p> <p>Target: USAID missions, African govt/development partners</p> <p>*The projections for 2000 and beyond assume funding under the Trade and Investment Initiative</p>	4	1996	5	6	9	*11	13	15	18	bi-annual	Mission reports, relevant project document	SD/SA will collect the information from relevant sources on a bi-annual basis, and aggregate the data for results reporting

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
2-2 Policymakers assisted in identifying and clarifying policy options to accelerate broad-based growth	Definition: # of strategic policy research agendas established in collaboration with host country policymakers Unit: # of research agendas Target: National and Regional *Current project ends in 1999. Projections for 2000 and beyond would depend on additional funding under the Trade and Investment Initiative	6	1995	12	3	*1	5	5	5	5	quarterly	Mission reports, relevant project document	SD/SA will collect the information from relevant sources and aggregate the data for results reporting
2-3 Effective participation of African stakeholders increased in policy formulation	Definition: # of workshops conducted and papers published in prominent journals to allow effective dialogue amongst African resesarchers, policymakers and civil society Unit: # of published papers, workshops *Current project ends in 1999. Projections for 2000 and beyond assume funding under the Trade and Investment Initiative	workshops: 1 published papers: 0	1995 1995	2 2	2 15	3 *15	3 2	3 3	3 15	3 4	quarterly	Mission reports, relevant project document	SD/SA will collect the information from relevant sources and aggregate the data for results reporting

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
2-4 M.A. Economic Graduates Trained -total -gender breakdown	Definition: Total number of graduates from AERC and IDRC economic training programs Unit: graduates, cumulative # Target: national and regional	404	1996	544	684	824	964	1104	1244	1384	quarterly	participating host-country institutions such as AERC, IDRC	SD/SA obtains data on a quarterly basis from relevant host country institutions, aggregates the data, and reviews trends on a regular basis.
2-5 Strengthened African Universities	Definition: Graduate economic departments in African Universities strengthened Unit: cumulative # Target: national	33	1996	33	33	36	36	36	39	39	bi-annual	participating host-country institutions	SD obtains data on a bi-annual basis from relevant host country institutions, aggregates the data, and reviews trends on quarterly basis.
2-6 African regional private sector advocacy networks and partnerships between US and African businesses strengthened	How this will be measured, beyond counting number of networks and organizations, will be determined.												

Performance Indicators: **SO #3****Adoption of improved agricultural policies, programs and strategies**

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
3-1 National technology systems adopt improved programs, policies and strategies leading to increased and sustainable agricultural outputs	Unit: # of organizations	0	1992	7	9	11	15	17	20	20	annual	TBD	TBD
3-2 Sub-regional agricultural technology associations established; they formulate regional programs; set priorities; mobilize and align resources according to priorities; and coordinate regional programs	Unit: # of associations # of regional programs	0	1992	3 2	3 3	3 4	3 4	3 6	3 8	3 8	annual	TBD	TBD

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
3-3 Sustainable and profitable technologies developed and transferred for priority commodities contributing more than 30% of national GDP; Technologies Developed for major regional agroecological constraints	Unit: # of countries # and type of technologies	0	1992	7 8	10 12	12 16	15 20	17 24	20 27	20 30	annual	TBD	TBD
3-4 Countries adopt agricultural programs, policies, and strategies with direct nutritional impact	Unit: # of countries	0	1995	0	1	2	4	5	6	8	annual	TBD	TBD
3-5 Countries and/or USAID missions adopt and/or implement national programs, policies or strategies to increase participation/remove constraints in input and commodity output markets	Unit: # of countries # of missions	0	1995	4 7	6 9	10 10	12 12	14 14	15 15	18 15	annual	TBD	TBD

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
3-6 Countries and/or USAID missions adopt programs, policies and strategies that generate employment and create/develop enterprises within agricultural input and output markets	Unit: # of countries	0	1995	2	3	4	5	8	10	12	annual	TBD	TBD
	# of missions			5	7	9	12	14	15	15			

Performance Indicators **SO #4****Adoption of affordable and more effective mechanisms for producing, sharing and using development information**

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
4-1 Number of Internet subscribers in USAID Target Countries (ie, with signed MOUs)	Definition: Number of subscribers Unit: # in thousands of subscribers	0	96	6	18	38	58	78	98	118	annual	Leland Country Reports	
4-2 Number of USAID target countries with policies supporting widespread sustainable access to the Internet	Definition: Three broad policies - Cost-based tariffing, free and open access to the information on the Internet and private sector retail ISPs. Unit: Number of countries signing MOU, cumulative	0	96	3	9	15	18	20	20	20	annual	Leland Annual Reports	
4-3 Number of USAID Target countries with two or more Internet Service Providers.	Definition: Establish a sustainable supply of Internet and other GII Information and communication services. Unit: Number of Countries	3	96	6	10	16	19	20	20	20	annual	Leland Country Reports	
4-4 Number of USAID Target countries with secondary city or rural Internet Points of Presence (POPs)	Definition: Number of USAID Target countries with secondary city or rural Internet Points of Presence (POPs) Unit: Number of countries.	0	96	2	6	12	16	19	20	20	annual	Leland Country Reports	

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
4-5 Number of AFR USAIDs with five or more key development partners subscribing to Internet.	Definition: Expand effective demand for information and communication technology. Unit: Number of Countries, cumulative.	0	96	1	8	16	20	20	20	20	annual	Leland Country Reports	
4-6 Number of "Best Practices" Publications	Definition: Expand user applications of ICT for sustainable development. Unit: Cumulative number of Publications	0	96	4	8	12	20	20	20	20	annual	Leland Home Page	
4-7 Number of Pilot demonstration projects established.	Definition: Number of Pilot demonstration projects established. Unit: Number of projects, cumulative	0	96	2	6	6	10	10	10	10	annual	Leland Annual Report	
4-8 Number of policy or sectoral networks using Internet based ICT approaches:	Definition: Expand networking by development organizations in Africa. Unit: Number of networks, cumulative	0	96	1	5	12	20	30	40	50	Annual	AFR R4's	

Performance indicators **SO #5****Accelerate progress in the spread of strategically viable and environmentally-sound environmental management systems**

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
5-1 A gradual but increasingly widespread adoption of technologies and practices in a number of countries, which in aggregate increase incomes while improving the sustainability of the natural resource base.	Definition: List compiled by panel of experts Unit: technology or practice Target: Continent-wide	150	96	200	250	300	350	400	450	500	Annual	Panel of experts	SD obtains information based on expert panel review and geographically integrated data sources
5-2 Percentage of selected Missions' strategies, program assessments, etc. which contain lessons from AFR/SD/PSGE.	Definition: compilation from expert assessment over active NRM countries in Africa Unit: Index Target: Continent-wide	80	96	90	100	100	100	100	100	100	Annual	Expanded SO team compilation	SD obtains information based on expert panel review and geographically integrated data sources

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
5-3 Number of countries where "enabling" policies are developed, passed or amended based on interactions of AFR/SD/PSGE with Missions and other donors.	Definition: Index derived from the movement of countries through levels of change for improved NRM Unit: Index (countries x levels) Target: Continent-wide	20	96	25	30	35	40	50	60	70	Annual	Expanded SO team compilation	SD obtains information based on expert panel review and geographically integrated data sources
5-4 Implementation of lessons incorporated into programs, policies and strategies, and the exchange of information between a number of countries to facilitate further advancement	Definition: Tabulation compiled by panel of experts based on instances of lessons incorporated and evidence of sharing across countries Unit: Instances Target: Continent-wide	300	96	400	500	600	700	800	900	1000	Annual	Panel of experts	SD obtains information based on expert panel review and geographically integrated data sources

Performance Indicators	SO #6	Adoption of policies and strategies for increased sustainability, efficiency, and equity of basic education services
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Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
6-1 Percent ¹ countries implementing reform policies and strategies advocated by SD	Definition: Number of countries which have put in place or maintaining at least fifty percent of the following policies or strategies as a proportion of the total number of countries where USAID has education programs: ! resource allocation and/or funding formulas to favor primary education ! restructured instructional service and delivery system (eg. continuous assessment, teacher support, instructional material availability) ! systemic approach to girls' education (eg. integrated into routine operations) ! policy dialogue and	3 (33%)	97 ²	4 (48%)	5 (55%)	6 (67%)	7 (78%)	8 (89%)	9 (100%)	annual	Mission reports, SD analyses and tdis, ADEA meetings	document review, targeted inquiries, field visits

¹Targets may change as new countries added or additional policies/strategies advocated.

² All baseline values for 1997 also are 1997 targets.

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
6-2 Percent ³ USAID education programs/projects employing ESS approach	Definition: Number of USAID missions employing "education sector support approach" ⁴ (ESS) as a proportion of total number of countries where USAID has education programs or projects. Unit: USAID education program/project, percent Target: USAID Missions	6 (67%)	97	7 (78%)	7 (78%)	7 (78%)	8 (89%)	8 (89%)	9 (100%)	annual	Mission reports, SD analyses and TDYs	documentation review, field visits

³Targets may change if new countries are added.

⁴The ESS approach is characterized by: (i) support of restructuring/reforming of education systems to meet national priorities (eg. primary education); (ii) systemic educational change (coordination of linkages between levels, components and loci of system); (iii) institutional capacity building; (iv) sustainability (within national resource envelop); (v) donor coordination; (vi) accountability; and (vii) national level impact.

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
6-3 Percent ⁵ USAID Missions using SD-promoted methods and tools in their education program/project	Definition: Number of USAID missions using more than half (50%) of the "bundle" of approaches, procedures, methods, tools and/or instruments developed and promoted by SD to design, manage and evaluate their education programs, as a proportion of total number of countries where USAID has education programs or projects, such as (illustrative): ! Updated Action Plan ! FQEL framework ! conditionality development/use ! policy dialogue methods ! impact measurement ! EdAssist Unit: USAID Mission, percent Target: USAID Field Operations	2 (22%)	97	3 (38%)	4 (44%)	5 (56%)	6 (67%)	8 (89%)	9 (100%)	annual	Mission reports, SD TDYs and workshops	document review, field visits, targeted inquiries

⁵Targets may change if additional countries or tools added.

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
6-4 Incidence of agency-wide adoption or use of SD-developed guidance on education support	<p>Definition: Number of new incidences of adoption by, incorporation into or use by USAID policy-making units (eg. AFR/DP, PPC, CDIE, G/HCD, G/WID) of SD-developed approaches, tool or methods into agency-wide policy, strategies, directives and procedures, in areas such as (illustrative):</p> <ul style="list-style-type: none"> ! USAID education policy statement (PPC) ! USAID impact assessment (CDIE) ! USAID Girls' Education Initiative (G/WID) ! Africa Bureau Transition Country Strategy (AFR/DP) ! SPESSA (G/HCD, AFR/SD/HPN) ! Donor Network model (LAC, AFR/HPN) <p>Unit: USAID policy-making units, number of new incidences</p> <p>Target: USAID/W</p>	4	97	4	4	4	4	4	4	annual	documents, communication	document review, targeted and opportunistic inquiry

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
6-5 Incidence of other funding or support agencies' adoption or use of SD-developed approaches, tools, and methods for education support	<p>Definition: Number of new incidence of other funding (eg. World Bank) or support (eg. ADEA, FAWE) agencies using or advocating approaches, procedures, methods, tools and/or instruments developed and/or promoted by SD to inform their education support activities, such as (illustrative):</p> <ul style="list-style-type: none"> ! ESS approach ! FQEL framework ! conditionality development/use ! policy dialogue methods ! impact measurement <p>Unit: funding or support agency involved in education, number of new incidences</p> <p>Target: multi-lateral, bilateral and support organizations</p>	2	97	2	2	2	2	2	2	annual	networks, communication, documentation	targeted and opportunistic inquiry

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
7-1 National Immunization Plans (Sustainability)	Definition: Number of countries with multi-year national plans for sustaining routine immunization services (endorsed by an Inter-Agency Coordinating Committee and including annual budget). Unit: # of countries	8	1996	18	24	30	36	42	46	Annual	WHO/AFRO	Review of annually updated 5 year plans submitted To WHO/AFRO
7-2 Integrated Management of Childhood Illnesses (IMCI) Strategy (Quality)	Definition: Number of countries adopting a national IMCI ¹ strategy. Unit: # of countries	3	1996	9	12	15	18	21	24	Annual	WHO/AFRO	Review of WHO/AFRO annual reports

6. IMCI involves an integrated approach to the assessment, classification, treatment, and counseling of sick children and their care-takers. It leads to more accurate identification of illnesses in outpatient settings, ensures more appropriate and, where possible, combined treatment of all major illnesses and speeds up referral of severely ill children. The approach means efficiency in training, and in the supervision and management of outpatient facilities. Wastage of resources is reduced because children are treated with the most cost-effective interventions for their condition. It also avoids the duplication of effort that may occur in a series of separate disease control programs.

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
7-3 Monitoring and Evaluation Plans for Malaria Control (Quality)	Definition: Number of countries that include monitoring and evaluation plans (with recommended malaria indicators) ² in their malaria control strategies and action plans. Unit: # of countries	18	1996	22	26	33	36	39	44	Annual	WHO/AFRO	Review of WHO/AFRO annual reports
7-4 Health System Efficiency Strategies (Efficiency)	Definition: Number of countries adopting health system efficiency strategies (e.g., hospital autonomy, reallocation of public funds for preventive care, upgrading health personnel). Unit: # of countries each year adopting such strategies	TBD	-	2	4	6	8	10	12	Annual	Program documents from multiple sources	Review of R4s, reports and correspondence from key partners, monitoring during TDY.
7-5 Means-Testing and Targeting Strategies (Equity)	Definition: Number of countries adopting means-testing and targeting strategies. Unit: # of countries each year adopting such strategies	TBD	-	2	4	6	8	10	12	Annual	Program documents from multiple sources	Review of R4s, reports and correspondence from key partners, monitoring during TDY.

Note: 1997 targets are as follows: 7-1, 12; 7-2, 5; 7-3, 20.

² Based on guidance in "A Monitoring and Evaluation Framework for Malaria Control in the Africa Region," developed by the Regional Malaria Task Force and published in October 1996.

Performance indicators **SO 8 Adoption of policies and strategies for increased sustainability and quality of family planning services.**

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
8-1 Programs providing adolescent reproductive health services	<p>Definition: Programs incorporating appropriate policies and strategies for provision of reproductive health services to adolescents based on operations research and best practices</p> <p>Unit: Number of discrete programs implemented nationally or regionally within a country</p>	0	1994	6	8	10	11	12	13	Annual	REDSOs, missions, AFR/SD	routine monitoring and field observation
8-2 Programs providing integrated FP/MCH/STI services	<p>Definition: FP/MCH programs incorporating appropriate policies and strategies e.g., standard protocols, supplies, and trained staff to assess, refer, and/or treat STIs</p> <p>Unit: Number of discrete programs implemented nationally or regionally within a country</p>	0	1995	4	6	8	10	11	12	Annual	REDSOs, Missions, AFR/SD	routine monitoring and field observation

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
8-3 Expanded/improved urban family planning programs	Definition: Urban family planning programs that implement strategic plans based on systematic service analyses and projected demand Unit: Number of programs serving urban populations	0	1995	3	4	5	6	6	6	Annual	REDSOs, Missions, AFR/SD	routine monitoring and field observation

Note: Targets for 1997 are as follows: a) RH services for adolescents, 4; b) STI/MCH/FP services integration, 3; c) Urban services, 2.

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
9-1 Strategies for Reducing HIV Transmission	Definition: Number of programs that include cost-effective strategies (demonstrated through research and evaluation) for reducing HIV transmission in selected countries. Unit: # of programs	0	1997	1	3	4	6	8	10	Annual	R4s and other donor documents	Review of R4s and other donor documents
9-2 Strategies for Reducing Impact of HIV/AIDS	Definition: Number of programs that include cost-effective strategies (demonstrated through research and evaluation) for reducing the impact of HIV/AIDS in selected countries. Unit: # of programs	0	1997	1	3	4	6	8	10	Annual	R4s and other donor documents	Review of R4s and other donor documents

Note: These indicators will be used for the new plan period. Indicators and targets for 1997 are documented elsewhere.

Performance indicators **SO #10** **Improve policies, strategies and programs for preventing, mitigating and transiting out of crises**

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
10-1 Case Fatality Rate ¹	Definition: Proportion of countries with reported case fatality rate below 2% for cholera and 'to be determined' for meningitis. Unit: % of countries reporting epidemics	0	1997	10	20	30	40	45	50	Annual	WHO/AFRO CDC OFDA ECHO Other as needed	Review of country annual reports submitted to WHO/AFRO
10-2 Studies on how development programs can help prevent or mitigate crises.	Definition: Number of studies completed and disseminated on how development programs can help prevent or mitigate crises. Unit: # of studies	0	1997	1	2	3	4	5	6	Annual	AFR/SD reports	Review of reports
10-3 Studies on issues that promote rapid transition from crisis to sustainable development.	Definition: Number of studies completed and disseminated on the issues that promote rapid transition from crisis to sustainable development. Unit: # of studies	0	1996	1	2	3	4	5	6	Annual	AFR/SD reports	Review of reports

¹ The percentage of the number of persons diagnosed as having a specified disease who die as a result of that illness.

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
10-4 Evaluation tools /methods for application in crisis and transitional situations.	Definition: Number of evaluation tools/methods developed and promoted for application in crisis and transitional situations. Unit: # of studies	0	1997	1	2	3	4	5	6	Annual	AFR/SD reports	Review of reports

Note: These indicators will be used for the new plan period. This is a new strategic objective, and thus no indicators and targets exist for 1997.

Performance indicators **SSO Adoption of tools, methods and approaches for improving application of environmental procedures and strategies in missions' and Africans' programs**

Performance Indicator	Description and units	Baseline		1997	1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Target	Frequency	Source	
1. Number of Missions with MEO a member of expanded SOTs	Definition: Number Unit: Index Target: Continent-wide										Annual	IEEs and other BEO/REO inputs & Analyses	SD BEO receives program-related communications from MEOs & REOs and compiles
2. Tools adopted and in use by MEOs, SOTs and partners	Definition: Number of Mission programs and hc partners reporting application of SD tools Unit: Index Target: Continent-wide										Annual	Survey, follow-up queries, REO's visits	SD organizes systematic follow-up and ad hoc analyses

Performance indicators **SpO Polio Eradicated in Selected Countries in a Manner That Builds Sustainable Immunization Programs**

Performance Indicator	Description and Units	Baseline		1998	1999	2000	2001	2002	2003	DATA		Method/Approach for Data Collection And Analysis
		Value	Year	Target	Target	Target	Target	Target	Target	Frequency	Source	
1. Cases of Polio	Definition: Percentage of (at least) 18 targeted countries reporting 0 cases of polio Unit: % of countries	0	1996	39	50	100	100	100	100	Annual	WHO/AFRO UNICEF USAID Missions	Routine reporting and when needed surveys from countries to WHO/AFRO and UNICEF
2. DPT3 and Polio3 Coverage	Definition: Percentage of (at least) 18 targeted countries reporting 80% coverage of children <1 year of age for DPT3 and Polio3 Unit: % of countries	3	1995	39	50	75	80	80	80	Annual	WHO/AFRO UNICEF USAID Missions	Routine reporting and when needed surveys from countries to WHO/AFRO and UNICEF

Note: 1997 targets for the indicators are: 1) 22%, and 2) 33%.